

NC Department of Public Instruction  
**21<sup>st</sup> Century Community Learning Centers**



**Grant Guidance**

Revised **September 2019**

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## SECTION 1: GENERAL INFORMATION

### A: Purpose of Guidance Document

This document is provided by the North Carolina Department of Public Instruction (DPI) as a resource for North Carolina's 21st Century Community Learning Centers (21st CCLC) program subgrantees. It is intended to provide uniform practices to ensure fidelity in the implementation of the 21st CCLC program. Throughout this document, reference to "organization" or "subgrantee" applies to the fiscal agent for the 21st CCLC grant. It is the fiscal agent's responsibility to: 1) maintain accurate and updated contact information for all 21st CCLC sites with NCDPI; 2) ensure adherence to all assurances and certifications associated with the 21st CCLC grant; and 3) assume responsibility for the reconciliation of any audit exception or compliance finding, including as necessary, the repayment of 21st CCLC funds from a non-federal funding source. Failure to comply with federal, state or grant guidelines may lead to implementation of a corrective action plan, reduction of allocation, suspension of reimbursement, repayment of misused funds, or suspension or closure of program.

The manual is reviewed annually and changes to procedures and policies are shared with subgrantees during their annual training and are available on the 21<sup>st</sup> CCLC website. DPI reserves the right to update or change the content of this manual as well as the 21<sup>st</sup> CCLC program or fiscal requirements, policies, and procedures at any time.

This guidance is not intended to replace the legislation, regulations, and Non-Regulatory Guidance published by the U.S. Department of Education (USED). Therefore, it is highly recommended that 21<sup>st</sup> CCLC grantees consult the appropriate resources online for complete guidance and regulations. The sources listed below are the primary sources for regulations and guidance from the USED to state grantees and from state grantees to local subgrantees.

- [North Carolina Department of Public Instruction 21<sup>st</sup> CCLC](#)
- [The Elementary and Secondary Education Act \(ESEA\) as amended by the Every Student Succeeds Act \(ESSA\)](#)
- [21<sup>st</sup> Century Community Learning Centers - Legislation](#)
- [21<sup>st</sup> Century Community Learning Centers – Guidance](#)
- [Elementary and Secondary Education Non-Regulatory Policy Guidance](#)
- [Education Department General Administrative Regulations \(EDGAR\)](#)
- [General Education Provisions Act \(GEPA\)](#)

## B. Updates to the Guidance

Much of the information provided in this document was available in previous versions. However, the following is a list of some of the more significant updates to the guidance:

- [Salaries](#)
- [Subcontractors](#)
- [Transportation costs for students](#)
- [Travel expenses](#)
- [Written fiscal procedures](#)
- [Additional internal controls](#)
- [Records retention](#)
- [Program income/fees prohibited](#)
- [Program attendance](#)
- [Providing healthy snacks](#)

Please note that the list provided above is not all-inclusive. It is the responsibility of each subgrantee to ensure that all provisions of the guidance document are read and understood.

## C: Background of the Program

The 21<sup>st</sup> Century Community Learning Centers (CCLC) Program is authorized under Title IV, Part B, of the Elementary and Secondary Education Act (ESEA) of 1965 as amended by the Every Student Succeeds Act (ESSA) of 2015. Beginning with grants initially funded in the 2017-2018 school year, 21<sup>st</sup> CCLC programs must comply with the provisions outlined in ESSA. Additional information about ESSA is located [HERE](#).

The U. S. Department of Education (USED) awards formula grants to the North Carolina Department of Public Instruction (DPI) which in turn make competitive grants available to eligible entities. Generally, a new competition is offered once every three years. Please note that availability of grant funds for new competitions and continuation awards is contingent upon budget approval by the U.S. Congress each year. Please visit the 21<sup>st</sup> CCLC [Request for Proposals](#) website for additional information as it becomes available.

Section 4204(a) of the ESSA defines Expanded Learning Programs (ELPs) as enrichment and academic activities that are included as part of a program that provides students at least 300 additional program hours before, during, or after the traditional school day. In addition, ELPs

must supplement, but not supplant regular school day requirements. States receiving 21<sup>st</sup> CCLC funds may, but are not required, to support ELP activities. At this time, the North Carolina 21<sup>st</sup> CCLC program does not include ELPs as defined under the ESSA in the competitive grant program.

Section 4204(j) of the ESSA describes that a state may, but is not required, to renew a subgrant provided under this part to an eligible entity, based on the eligible entity's performance during the preceding subgrant period. While North Carolina does consider subgrant performance during the preceding year as a part of the Continuation award during the three-year award period, North Carolina does not currently offer renewability as allowed under the ESSA.

### **D: Purpose of the Grant**

The purpose of the 21<sup>st</sup> CCLC program is to provide federal funds to establish or expand community learning centers that operate during out-of-school hours with three specific purposes:

1. Provide opportunities for academic enrichment, including providing tutorial services to help students (particularly students in high poverty areas and those who attend low-performing schools) meet state and local student performance standards in core academic subjects such as reading and mathematics.
2. Offer students a broad array of additional services, programs, and activities, such as: youth development activities; service learning; nutrition and health education; drug and violence prevention programs; counseling programs; arts, music, physical fitness and wellness programs; technology education programs; financial literacy programs; environmental literacy programs; mathematics, science, career and technical programs; internship or apprenticeship programs; and other ties to an in-demand industry sector or occupation for high school students that are designed to reinforce and complement the regular academic program of participating students.
3. Offer families of students served by 21<sup>st</sup> CCLCs opportunities for active and meaningful engagement in their children's education, including opportunities for literacy and related educational development.



## **E: Eligibility and Priority**

Any public or private organization wanting to provide out-of-school programs for K-12 students in North Carolina is eligible to apply for a 21<sup>st</sup> CCLC grant. Agencies and organizations eligible under the 21<sup>st</sup> CCLC program include but are not limited to local education agencies (LEAs), non-profit agencies, city or county government agencies, community-based organizations (CBOs), faith-based organizations (FBOs), institutions of higher education (IHEs), and for-profit corporations.

Section 4204(b)(2)(H) of the ESSA requires applicants to provide a description of the partnership between an LEA, a CBO, and other public or private organizations, if appropriate. If the local applicant is another public or private organization (e.g., an organization other than a school district), it must provide an assurance that its program was developed and will be carried out in active collaboration with the schools the students attend.

Section 4202(i)(1)(A)-(C) (A) requires that states give priority to applications that:

1. Will serve students, and the families of those students, who primarily attend schools that are implementing comprehensive support and improvement activities or targeted support and improvement activities
2. Will enroll students who may be at risk for academic failure, dropping out of school, involvement in criminal or delinquent activities, or who lack strong positive role models
3. Are submitted jointly by eligible entities consisting of not less than one (1) local educational agency receiving Title I, Part A funds and another eligible entity.
4. Demonstrate that the activities proposed in the application are not accessible to students who would be served or would expand accessibility to high-quality services that may be available in the community.

***NOTE: In NC, local boards of education must offer kindergartens as a part of the public-school system for all children living in the local school administrative unit who are eligible for admission (§ 115C-47). While the ESSA does not expressly prohibit serving preschool children in the 21<sup>st</sup> CCLC program, North Carolina offers awards to subgrantees that provide services to school-age children enrolled in kindergarten through high school grades.***

## **F: Absolute Priority**

DPI awards subgrant only to applicants that will target students who primarily attend schools eligible for schoolwide programs under section 1114 and the families of such students. Applicants must identify all feeder schools for the program. The average poverty percentage across all schools must be at least forty (40) percent.

## **G: Grant Awards and Duration**

Organizations are eligible to receive grants of not less than fifty thousand dollars (\$50,000) and up to four hundred thousand dollars (\$400,000) a year, based on the proposed number of students served, with an opportunity for a second and third year of funding. To determine the level of funding eligibility, organizations will utilize the Wallace Foundation Out-of-School Time Cost Calculator and the North Carolina Department of Commerce County Tier Designations. Each organization will complete the Cost Calculator with information tailored to that organization's proposed program and will attach a printout of the results to the application. Among its output, the Cost Calculator will provide an annual total program cost with low, median, and high estimates. Organizations serving schools in counties designated as Tier 1 counties are eligible for 90% of the high annual total program cost; Tier 2 county organizations are eligible to receive 85% of the median annual total program cost; Tier 3 county organizations are eligible to receive 80% of the low annual total program cost. (City organizations will use the Tier designation for the county in which they are located.) No organization is eligible to receive a grant award totaling less than \$50,000 or more than \$400,000 after Cost Calculator and Tier Designations are applied.

North Carolina 21st CCLC grants may be continued for up to two (2) additional years. Continuation awards are contingent upon availability of federal funds and are based on the program's ability to demonstrate compliance with state and federal laws, progress towards fully implementing the approved program, and progress towards local program goals including enrollment and attendance goals.

Each subgrantee can be awarded funds for the academic year starting on July 1st of the initial year and ending on September 30th of the following year (e.g., July 1, 2019 through September 30, 2020). Reimbursement requests must be based on actual expenditures versus encumbrances made prior to the September 30th deadline. There is no liquidation period. All unspent funds remaining at the end of the grant period of availability will revert to the state.

***NOTE: Grant awards will be paid to the subgrantee listed on the application. All bank accounts, correspondence and documentation must use the subgrantee name for the duration of the program.***

## SECTION 2: Fiscal Management

### A: Budgets

As stated in the Application Guidance, the proposed budget submitted with the 21<sup>st</sup> CCLC application is **NOT** the approved budget for release of funds. If the application is approved, subgrantees must submit a final budget for the full amount of the award by line item detail for review and approval by DPI prior to the release of funds. Subgrantees must complete the budget on Budget Form 208 (FPD 208) and upload the document in the Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP) system. Since 21<sup>st</sup> CCLC funds are made available on a reimbursement basis, it is strongly encouraged that applicants have secured funding or a line of credit to operate the 21<sup>st</sup> CCLC program for approximately a two-month period. For additional information on completing the FPD 208, see [Appendix B](#). The template for the FPD 208 may be found in Related Documents section of CCIP.

As a rule, program funds may be used only to cover costs that (1) comply with the approved grant application and budget and (2) are reasonable and necessary for the proper and efficient performance and administration of the grant. “A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.” ([EDGAR 2 CFR Part §200.404](#)).

Subgrantees must be able to demonstrate the extent to which the costs are reasonable in relation to the number of students and adults to be served and the correlation to the anticipated results and benefits. All items included in the budget must clearly relate to activities described in the program design section of the application. Please refer to [Section 2.D](#) of this document for additional information about budgeted salaries.

***NOTE: No item should be identified in a budget that does not reflect the approved grant and fiscal year plan of implementation.***

### B: Chart of Accounts

The Financial and Business Services Division at DPI assigns all funding streams (whether federal, state, or local) to a unique Program Report Code (PRC). The 21<sup>st</sup> CCLC Grant is identified as PRC 110. Each PRC has a unique Chart of Accounts (COA) to document which purpose or object

codes in the budget system represent allowable expenditures according to the requirements of that particular funding source.

The account code structure consists of four dimensions. The dimensions are: 1) fund, 2) purpose, 3) program report code, and 4) object:

1. Fund Code - consists of one numeric digit. The fund is an independent fiscal accounting entity with a self-balancing set of accounts. (e.g., federal fund code is 3).
2. Purpose Code - consists of four numeric digits and describes the purpose for which the activity exists or the type of balance sheet account. (e.g., Instructional Services code is 5000).
3. Program Report Code (PRC) - consists of three numeric digits. The program report code describes the funding for each activity, classifying expenditures by program to determine cost. (e.g., PRC 110 for 21<sup>st</sup> CCLC awards; PRC 050 for Title I, Part A awards).
4. Object Code - consists of three numeric digits. The object is the service or commodity obtained as the result of a specific expenditure. (e.g., Teacher's Salary (Certified/Licensed) is code 121; Supplies and Materials is code 411).

The Federal Program Monitoring and Support Division is responsible for approving the COA for PRC 110 on an annual basis. Subgrantees may request additional object and/or purpose codes for division management to consider by completing the COA Revision Request Form.

***NOTE: All budgets must be submitted under approved account codes in the COA.***

## **C: Use of Funds**

Grant funds must be used in a manner consistent with all statutory requirements and must be used only to supplement, not supplant, any federal, state or local dollars available to support activities allowable under the 21<sup>st</sup> CCLC program. Funds may be used to expand or enhance, but not replace, current activities. Proposed budgets must be developed in consideration of costs that are reasonable and necessary to fulfill the goals of the 21<sup>st</sup> CCLC grant. Subgrantees are strongly encouraged to attend all training provided to assist non-LEAs and LEAs on budget and operational requirements, as related to the [Education Department General Administrative Regulations](#) (EDGAR). Subgrantees should work with their DPI 21<sup>st</sup> CCLC Program Administrator (PA) to determine allowable use of funds for a program activity.

Funds **MAY** be used (i.e., reimbursed) for program implementation as well as for operational expenses, including, but not limited to the following:

- Personnel and personnel benefits (see [Section 2.D.](#))
- Staff development and training
- Consultants, subcontracts and evaluators
- Transportation costs for students (see [Section 2.F.](#))
- Educationally related field trips (see [Section 4.I.](#))
- Renting space, if necessary
- Teacher substitutes
- Travel reimbursements (see [Section 2.G.](#))
- 21<sup>st</sup> CCLC program equipment and supplies, including computers and software
- Memberships in warehouse clubs or business, technical and/or professional organizations if the membership is in the name of the 21<sup>st</sup> CCLC Program
- Memberships in any civic or community organization are allowable with prior approval by the pass-through agency (NCDPI)

Funds may **NOT** be used (i.e., reimbursed) for the following (this is NOT an all-inclusive list):

- Purchase of vehicles
- Costs for developing the proposal
- Food purchases for staff (see [Section 2.G.](#))
- Fundraising costs
- Land acquisition
- Building or renovation costs
- Leases of more than 12 months in duration
- Cost of conducting an audit if total of all federal grants received is less than \$750,000
- Direct cash or gift cards in any amount for students or their parents
- Field trip tickets purchased in advance for those who do not attend
- Entertainment or any costs associated with entertainment including diversions and social activities

Additional fund-use considerations include, but are not limited to, the following:

- All field trip expenses require pre-approval from DPI.

- All technology expenses require pre-approval from DPI.
- Subgrantees must conduct an inventory of equipment purchased with grant funds once every year and reconcile that information with the property records.
- If equipment is to be used during the regular school day hours, the cost of the equipment must be prorated based upon percentage of use.
- Student incentives are limited to school supply type items with no intrinsic value greater than \$25. Subgrantees may not pay students or their parents to participate in afterschool programs. If the expenses are legitimate expenses, they may be built into the budget (e.g., t-shirts without screen printing, logos, or brands) in solid colors only, a free book).
- Subgrantees must contact the DPI 21<sup>st</sup> CCLC PA prior to disposing of any equipment.

**NOTES:**

- ***Federal funds generally may not be used for non-educational/entertainment activities; this includes spending program funds on items such as amusement parks fees, ball games, purchasing gift cards, giving incentive awards, T-shirts or purchasing food, etc. Specific costs that might otherwise be considered entertainment that have a programmatic purpose and are authorized in the approved budget for the Federal award or with prior written approval of the Federal agency are allowable (EDGAR 2 CFR § 200.438 & Slide #12 in <https://www2.ed.gov/programs/21stcclc/21stcclc-program-income-parent-fee-presentation.pdf>).***
- ***If DPI determines any costs to be unallowable, subgrantees are subject to repayment, including interest, of such costs (EDGAR 2 CFR § 200.410).***
- ***At the end of the grant cycle, equipment inventory will be reviewed to determine if the equipment is no longer needed for the original program or project so that the equipment may be used in other activities (EDGAR 2 §200.313).***

**D: Salaries**

**All personnel (including contracted personnel) working for the 21<sup>st</sup> CCLC program must be paid hourly.** For LEAs that pay stipends for additional responsibilities, the hourly rate of pay does not apply. Each program must submit a pay rate schedule to DPI 21<sup>st</sup> CCLC program staff prior to the first payroll.

In general, total salaries and employer taxes (e.g., FICA, Social Security, Medicare) for all employees for each 21<sup>st</sup> CCLC program should not exceed seventy percent (70%) of the total

yearly budget. In the event a 21<sup>st</sup> CCLC program wishes to exceed the 70% personnel cap, the subgrantee's PA must be contacted prior to the program submitting a continuation application for approval and a waiver must be completed. If a 21<sup>st</sup> CCLC program is not required to expend funds for leasing a building and incurring expenses related to utilities and/or insurance for space, the 70% cap does not apply, and no waiver is needed. For information on waiver requests, please see [Appendix M](#).

As with all expenditures paid from 21<sup>st</sup> CCLC grant funds, it is the responsibility of each organization to work with the regionally assigned PA to ensure that all costs, including salaries, are reasonable and necessary to implement the afterschool program.

***NOTE: If any staff are paid with 21<sup>st</sup> CCLC funds and are employed in work outside of the 21<sup>st</sup> CCLC program, documentation must be maintained and may be requested by DPI to justify time and effort for the 21<sup>st</sup> CCLC program.***

### **E: Subcontractors**

Applicants should exercise caution in selecting subcontractors to implement program components. Subgrantees may not contract with any party which is debarred, suspended, excluded from or ineligible for participation in federal programs under [EDGAR 2 CFR Part §200.213](#), "Debarment and Suspension."

- For NC Debarred Vendors, go to <https://ncadmin.nc.gov/documents/nc-debarred-vendors>.
- To search for federal exclusion records, go to: <https://www.sam.gov/SAM/>.

All vendors must have professional qualifications and a taxpayer ID for the business providing the professional service. All payments made for vendor-provided services must have supporting documentation which includes a detailed description of services to be provided and dates services will be delivered.

Contracts must contain clear and specific language regarding the nature of the purchase or service, the time period of the contract, the total contract amount as well as sufficient cost details to facilitate invoice review, and lastly, the specific services/deliverables that must be rendered and accepted prior to payments being received. Deliverables must be specifically related to the contract's scope of work and must be both quantifiable and measurable. The



document must also contain sanctions for non-performance. If necessary, it is also advisable to consider including an exit clause.

Contracts that are paid on a reimbursement basis or a fixed rate for a specific time period should require written progress reports to be submitted detailing the activities accomplished for the period of the invoice (see [Section 2.F.](#) for transportation of students). Subgrantees are required to administer contracts in a manner that ensures the contractor performs in accordance with the terms, conditions, and specifications of the contract or purchase order.

Commitments or agreements that are written into the grant application that do not follow proper procurement and contract rules and procedures are **NOT** exempt from procurement and contracts rules and regulations. For more information on required procurement practices, please refer to [Section 2.K.](#) of this document.

**NOTES:**

- ***All contracts must be uploaded into CCIP as part of the budget/amendment approval process for review and approval by the PA prior to any contracts going into effect.***
- ***Vendors cannot be 21<sup>st</sup> CCLC program employees.***
- ***Family members of program employees cannot be used as contract labor for enrichment services.***
- ***Supplies and other goods cannot be purchased from a company in which a program employee has a financial interest.***

## **F: Transportation Costs for Students**

If the subgrantee is using a vehicle already owned by the organization to transport students, reimbursement of transportation costs must be based on total miles driven daily and must be multiplied by the current transportation rate for the school district in which the program is located. For LEAs using state yellow buses or non-LEAs contracting transportation services with LEAs, transportation costs may be reimbursed based on the annual rates established by DPI.

Fuel costs may be reimbursed if vehicles used to transport students are owned by the subgrantee or provided as part of an in-kind contribution. Detailed mileage logs must be maintained and provided as requested. Mileage logs must be matched to gas receipts and clearly labeled with a vehicle identifier (e.g., license plate, van number, etc.). **Separate costs for vehicle maintenance, insurance, and registration fees cannot be charged to the 21st CCLC grant.**

**When using contractors for student transportation**, contracts must identify the rate per mile and subcontractors must submit an invoice prior to payment. Contractor invoices for payment must include, at a minimum:

- Dates of transportation
- From/to destination for each day
- Rate per mile as reflected in the contract
- Number of students transported
- Vehicle license plate number
- Total number of miles for the billing period

**NOTES:**

- ***21<sup>st</sup> CCLC funds cannot be used to purchase vehicles.***
- ***Payment to contractors for transportation cannot be paid until the contract is approved by DPI (see [Section 2.E.](#)).***

## **G: Travel Expenses**

Program funds may be used to pay for travel expenses for employees that are paid from 21<sup>st</sup> CCLC funds while attending DPI-sponsored meetings or professional development.

Reimbursements made to staff for travel expenses must follow school district policies or policies of the NC Office of State Budget and Management's (OSBM's) [Travel Policies and Regulations](#).

Employees must pay for their own meals and submit expenditures on a travel reimbursement request form. Subgrantee organization credit cards cannot be used to pay for staff meals during travel.

USED's [Frequently Asked Questions](#) document states that, "[g]enerally, there is a very high burden of proof to show that paying for food and beverages with Federal funds is necessary to meet the goals and objectives of a Federal grant." To ensure that travel costs are 1) reasonable and necessary to accomplish the goals of subgrantee's 21<sup>st</sup> CCLC program and 2) do not exceed charges normally allowed by DPI in its regular operations, **meal costs may only be reimbursed if there is an overnight stay.**

**The following travel costs cannot be paid with 21<sup>st</sup> CCLC funds:**

- Cost of upgrading airline seats, unless required for medical reasons
- Travel insurance

- Baggage fees (checked or extra weight)
- Daily pass fees for airline clubs if flights are cancelled/delayed

Additionally, reimbursement for plane tickets cannot be requested until round-trip travel has occurred.

## **H: Written Fiscal Procedures**

21<sup>st</sup> CCLC subgrantees must operate their federal grants in accordance with the Code of Federal Regulations. Each organization must establish and maintain effective fiscal control and fund accounting procedures (internal controls) over the Federal award that provide reasonable assurance that the organization is compliantly managing the Federal award. Internal controls can be defined as a process, implemented by an organization designed to provide reasonable assurance regarding the achievement of objectives in the following categories: effectiveness and efficiency in operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations (2 CFR §200.61). The goal of internal controls is to reduce fraud, waste and abuse in the use of Federal funds. Organizations must adequately safeguard all assets and assure that they are used solely for authorized purposes (2 CFR §200.62). Standards for financial management systems include, but are not limited to:

- Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets.
- Subgrantees must adequately safeguard all such property and must assure that it is used solely for authorized purposes and protected against loss from unauthorized use or disposition.
- Subgrantees must maintain certified time and effort documentation that corresponds to payroll records for all staff including management.
- Actual expenditures or outlays must be compared with corresponding budgets for each grant.
- Transactions must be properly recorded. Accounting records must be supported by such source documentation such as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents.

Written procedures for financial management must include information addressing:

1. Organization accounting system(s)
2. How budgets are loaded onto the system
3. Process for comparing budgets to expenditures
4. Process for drawing down funds
5. Process and authorizations for budget revisions
6. Period of performance and when obligations are made
7. Process for carryover
8. Process for completing the completion reports
9. Incorporate state agency requirements, if applicable

### Required Written Procedures

Required Internal Control	Requirement	<a href="#">Authorizing Citation</a>
Cash Management	Written Procedures	§200.302(b)(6), §200.305
Allowability	Written Procedures	§200.302(b)(7)
Equipment Management	Written Procedures	§200.313(d)
Conflict of Interest	Written Standards of Conduct	§200.318(c)
Procurement (Specific levels described in §200.67, §200.88, §200.320 – subject to change.)	Written Procedures	§200.319(c)
Procurement: Competitive Proposals - Conducting Technical Evaluations of Proposals Received and for Selecting Recipients	Written Method	§200.320(d)(3)
Compensation – Personal Services (Time and Effort, Stipends, etc.)	Written Policy	§200.430(a)(1) SBOE 160-3-3-.04
Travel	Written Travel Policy	§200.474(b) OCGA §50-5B-5 OCGA §20-2-167(b) SBOE 160-5-2-.23 Financial Management for GA LUAs Chapter 40
Segregation of Duties	Written Procedures	2 CFR §200.303(a) GAO-14-704G Standards for Internal Controls for the Federal Government 10.03, 10.12-10.14

The following documents are provided as a resource to assist LEA and other subgrantees in developing compliant policies and procedures for federal grants:

- **LEA Fiscal Policies and Procedures Template**  
([pdf, 379kb](#))
- **LEA Fiscal Policy and Procedure Checklist**  
([pdf, 145kb](#))

## **I: Conflicts of Interest**

According to the general procurement standards, the non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity. ([EDGAR 2 CFR §200.318](#))

Within the 21<sup>st</sup> CCLC program, conflicts of interest could include:

- Employing immediate family members as contract labor for services.
- Having a program employee serve as a vendor.
- Purchasing supplies from a company in which a program employee has a financial interest.

***NOTE: North Carolina General Statute (G.S. 115C-12.2) defines "immediate family member" as a spouse, parent, child, brother, sister, grandparent, or grandchild. The term also includes the step, half, and in-law relationships.***

## **J: Additional Internal Controls**

While the internal controls mentioned in the following chart are not required to be in writing, the LEA must still adhere to these requirements. Addressing the topics in writing help to ensure

that all staff will consistently follow procedures and may reduce the risk of monitoring or audit findings.

Internal Control	Authorizing Citation
Accounting Records Reconciliation Reporting	Accounting Records – 2 CFR §200.302(b)(3) Reconciliation – 2 CFR §200.302(b)(5) Reporting – 2 CFR §200.302(b)(2)
Basic Considerations	2 CFR §200.402-411
Contract Oversight	2 CFR §200.318(b)
Drawdown Procedures	2 CFR §200.305(b)(3)
Expenditure Authorization by Program	2 CFR §200.303
General Provisions for Selected Items of Cost	2 CFR §200.420-475
Period of Performance	2 CFR §200.77, 200.309, 200.403(g); 34 CFR §76.707
Records Retention	2 CFR §200.333, 200.335; 34 CFR §81.31(c)
Source Documentation	2 CFR §§200.302(b)(3), 200.403(g)
Supplement Not Supplant	ESSA, IDEA
Suspension and Debarment	2 CFR §200.212, 2 CFR Part 180

While EDGAR does not stipulate a specific accounting system, the accounting system must provide detailed information regarding each transaction using 21<sup>st</sup> CCLC funds. For example, it is not enough to record that \$5,000 was spent on equipment. The accounting system must maintain \$5,000 was spent on a computer from [NAME] Company and the date of the purchase.

***NOTE: All 21<sup>st</sup> CCLC subgrantees must provide training to 21<sup>st</sup> CCLC staff to ensure staff understands and follows written fiscal procedures. Documentation of training (e.g., agendas, sign-in sheets, etc.) must be maintained for review during monitoring reviews.***

## K: Procurement

Procurement transactions (purchases) of both goods and services must be conducted in a manner to provide open and free competition. Procurement transactions must consider price, quality, service, and other factors important to the subgrantee as set out in the Uniform Grant Guidance (UGG) ([2 CFR §200.218 - §200.226](#)).

**Procurement Requirements Using Federal Funds for Services and Goods\***

Procurement Method	Goods	Services
Micro-Purchase - No required quotes. However, must consider price as reasonable, and, to the extent practical, distributed equitably among suppliers.	\$10,000 or less Must use more restrictive \$10,000 federal threshold.	\$10,000 or less
Small Purchase Procedures (Informal) - Obtain/document quotes from a reasonable number of qualified sources (at least three).	\$10,000.01 - \$90,000 Must use more restrictive \$90,000 state threshold instead of \$250,000 federal threshold.	\$10,000.01 - \$250,000 Service contracts not subject to state competitive bidding requirements. LEAs utilize UG process (or local if more restrictive).
Sealed Bids / Competitive Bids (Formal)	\$90,000.01 or more Must use more restrictive \$90,000 state threshold instead of \$250,000 federal threshold	\$250,000 or more Service contracts subject to state competitive bidding requirements. LEAs must utilize UG process (or local if more restrictive).
Noncompetitive proposals	Appropriate only when: <ul style="list-style-type: none"> <li>• Available only from a single source (sole source)</li> <li>• Public emergency</li> <li>• Expressly authorized by awarding or pass-through agency in response to written request from district</li> <li>• After soliciting a number of sources, competition is deemed inadequate.</li> </ul>	

*\*Table was developed by the UNC School of Government.*

More information about procurement may be found in [Appendix J](#).

**NOTES:**

- ***In addition, procurement procedures must be maintained to avoid any potential conflicts of interest. Potential conflicts of interest that may arise as a result of a contract must be disclosed to DPI in advance of entering into a contract with an individual or company ([EDGAR 2 CFR §200.319](#)).***
- ***Equipment purchases, regardless of method of procurement, must be approved in the Budget Form 208 (see [Appendix B](#)).***

- ***NCDPI requires prior approval for all “technology equipment” purchases.***
- ***Federal Guidance places a threshold amount of \$10k or more to require quotes/bids; however, the federal Government allows the state education agency (SEA) to set a more restrictive limit. NCDPI places the threshold at \$500 or more.***

## **L: Time and Effort Reporting**

The purpose of time and effort reporting is to certify and verify that the employee’s salary paid from the grant funds is commensurate with his/her percent of effort worked on the grant. Each employee working on a single activity or “cost” must maintain semi-annual certifications. Each employee working on multiple activities or “costs” must maintain personnel activity reports.

<b>Cost Objective(s)</b>	<b>Criteria</b>	<b>Documentation Required</b>
Single Cost Objective	<ul style="list-style-type: none"> <li>• Employee works solely on a single Federal award or cost objective.</li> </ul>	<u>Semi-annual certification</u> <ul style="list-style-type: none"> <li>• Must be prepared at least semi-annually; and</li> <li>• Must be signed after-the-fact by the employee or a supervisory official having firsthand knowledge of the work performed by the employee.</li> </ul>
Multiple Cost Objectives	<ul style="list-style-type: none"> <li>• More than one Federal award;</li> <li>• Federal award &amp; non-Federal award;</li> <li>• Indirect cost activity &amp; direct cost activity;</li> <li>• Two or more indirect activities that are allocated using different allocation bases; or</li> <li>• Unallowable activity &amp; a direct or indirect cost activity</li> </ul>	<u>Personnel activity reports (PAR)</u> <ul style="list-style-type: none"> <li>• Must reflect an after-the-fact distribution of the actual activity of the employee;</li> <li>• Must account for the total activity for which each employee is compensated;</li> <li>• Must be prepared at least monthly &amp; coincide with one or more pay periods; and</li> <li>• Must be signed after-the-fact by the employee &amp; a supervisory official having firsthand knowledge of the work performed by the employee.</li> </ul>

***NOTE: Some LEAs in NC are approved to use a substitute system for time-and-effort reporting.***



### **Important Reminders Regarding Time and Effort Documentation for Employees<sup>1</sup>**

1. Non-LEAs must maintain PARs for all 21st CCLC employees.
2. Semi-annual (periodic) certifications are needed for all employees not required to maintain PARs.
3. Appropriate time and effort documentation for all employees include time sheets for salaried and hourly paid employees with single cost objectives or PAR) for employees with multiple cost objectives or with multiple roles within single cost objectives.
4. Semi-annual (periodic) certification must be signed by the employee or supervisory official having firsthand knowledge of the work performed by the employee. Timesheets and PARS must be dated and signed by both the employee and his/her supervisor.
5. All time and effort documentation should reflect after-the-fact distribution of the actual activity of each employee.
6. PARs should account for the total activity (21st CCLC and non-21st CCLC) for which the employee is compensated by the organization.
7. Time period (start and end dates) of time and effort documentation such as time sheets and PARs must be prepared at least monthly and coincide with one or more pay periods/cycles.
8. Documents must present breakdown of the benefits/payroll taxes paid on behalf of the employees being paid through 21st CCLC funds.
9. DPI may request documents relating to proof of payment/transfer of payroll.

### **M: Indirect Cost**

The USED has given DPI authority to issue indirect cost rates for all subgrantees. Subgrantees that receive their indirect cost rates from DPI use the rates to recover organization-wide administrative costs of managing federal grants, such as costs related to accounting, budgeting, purchasing, auditing, and payroll processing. Subgrantees may spend no more than the calculated rate of each year's budget on activities related to the fiscal agent's administration of the 21<sup>st</sup> CCLC grant.

### **N: Budget Amendment or Revision Process**

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<sup>1</sup> An 'employee', for tax purposes, means whether federal (and state) income taxes must be withheld from the person's pay and whether the employee and employer must pay FICA taxes (for Social Security and Medicare benefits). In these circumstances, the opposite of an employee is an independent contractor.

Post-award changes in budgets and projects require the prior written approval of DPI, and submission of a Budget Amendment Form (FPD 209). Budget amendments/revisions (changes to the budget) can be submitted anytime during the approved grant period. Budget amendments along with appropriate justification narrative and programmatic change (if applicable) should be sent to the DPI 21st CCLC PA for review and approval. DPI staff will verify that the request meets the requirements of the grant. LEAs and public charter schools are expected to receive approval in the Budget and Amendment Approval System (BAAS). Non-LEAs receive budget approval using the appropriate DPI forms, FPD 208 for initial budgets and FPD 209 for amendments. The template for the FPD 209 may be found in Related Documents section of CCIP.

### **O: Records Retention**

Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three (3) years from the date of submission of the final expenditure report or, for continuation award, from the date of the submission of the annual continuation application. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and the final action taken. Records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition ([2 CFR §200.333](#)).

## SECTION 3: FUND DISTRIBUTION AND REIMBURSEMENT

### A: Allotments

21<sup>st</sup> CCLC funds are allotted in three installments with the second and third installments based on the subgrantee's demonstration of progress toward enrollment goals as follows:

1. Initial allotment equal to 34% of total approved grant award upon completion of budget and required documentation approval (e.g., field trip requests, proposed contracts);
2. Second allotment equal to 34% of the total approved grant award for 50% enrollment goal met; and
3. Final allotment equal to 32% of the total approved grant award for 75% enrollment goal met.

Please note that attendance data will be carefully monitored to determine if average attendance data will be used for the release of installments in future years.

### B: LEA Subgrantees

Once a subgrantee's Budget Form 208 for PRC 110 is approved in CCIP by DPI program staff and the first allotment installment is released, the grant funds are deposited directly in the LEA or charter school account via electronic transfer. LEAs and charter schools work with approved third-party vendors to post budgets and to account for program expenditures by object and purpose code. Vendor products must electronically interface with BAAS, which is managed by DPI. The BAAS system is connected to DPI's Cash Management System, which in turn, is connected to the NC Department of the State Treasurer. Transactions in BAAS generate a report which automatically feeds entries to the external General Ledger (GL) and North Carolina Accounting System (NCAS). The DPI Cash Management Section then draws the funds down from the State Treasurer account according to the NCAS and GL data. The LEAs and charters' accounting systems are automatically linked to BAAS to track their approved use of state and federal funds which pass through DPI.

DPI serves as the flow-through agency to LEAs for an extremely large number of state and federally-funded programs; however, there are several distinct characteristics about the 21<sup>st</sup> CCLC program that require a unique approach to how DPI and the subgrantees manage the

operational budgets, allotments, and even the monitoring process. Some of the ways that PRC 110 varies from most other PRCs includes the following:

- PRC 110 has no planning allotment.
- Subgrantees must submit the Budget Form FPD 208 as an upload in the CCIP grants management system and receive an approval from DPI before the LEA's budget can be approved in the BAAS accounting system.
- To accommodate summer programming, the period of availability is set to fifteen (15) months; however, there is no liquidation period.
- The allotment is distributed in three (3) separate installments during the program year.

### **C: Non-LEA Subgrantees**

The School Business Section at DPI assigns a unique banking vendor number for each non-LEA entity which has been approved by the State Board of Education to receive federal or state funds through DPI. Prior to the DPI approval of the budget or release of funds, the non-LEA subgrantees must complete and submit a Vendor Electronic Payment Form to DPI so the Cash Management Section can register the organizations' checking accounts with the Office of the State Controller. Once the checking account is registered with DPI, DPI program staff must approve the Budget Form FPD 208 in CCIP. After budget approval is completed, the first installment of the allotment is released and subgrantee organizations can begin submitting cash reimbursement requests.

***NOTE: A copy of the Vendor Electronic Payment Form may be found in [Appendix D](#). Please DO NOT submit forms directly to the Office of the State Controller. Please submit completed forms to:***

**Melba Strickland  
Federal Program Monitoring and Support Division  
6307 Mail Service Center  
Raleigh, NC 27699-6307**

Non-LEAs enter their reimbursement requests in the online [Expenditure Reporting and Cash Application](#) (ERaCA) system. To access ERaCA, non-LEAs are required to register with the [North Carolina Identity Management](#) (NCID) system. The NCID system verifies the identity of the user and authorizes specific rights within ERaCA.

After non-LEAs login with their NCID credentials, the ERaCA system tracks the availability of allotted funds and ensures the dollar amounts of the organizations' requests are limited to available balance. Non-LEAs may submit one reimbursement request per week into ERaCA and they will generally receive the funds via direct deposit within ten (10) business days.

The ERaCA system creates an interface file to an external General Ledger (GL) and enters the cash request into the Cash Management System (CMS). The CMS produces a report and generates entries to the external GL and NCAS. The DPI Cash Management Section draws the funds down per the report.

## SECTION 4: PROGRAM MANAGEMENT

### A: Location of Program Centers/Sites

In addition to public school campuses, 21<sup>st</sup> CCLC program centers or sites may be located in a variety of facilities, including, but not limited to, community centers, church activity buildings, college campuses, local government buildings, or even rented commercial spaces. The 21<sup>st</sup> CCLC program facilities must be at least as available and accessible to the participants as if the program were in a school and meet the same criteria for safe and effective learning including fire codes for safe egress. Program officials are reminded of their obligation under [Section 504 of the Rehabilitation Act](#) to ensure that facilities for community learning center programs must be accessible to persons with disabilities. If the programs are operated in facilities other than a school building, the organization must ensure the facility still meets state, federal, and local standards for safety and general accessibility. For more information about building code and safety guidelines, review resources provided by the [Office of the State Fire Marshall](#) and the [NC Existing Building Codes](#) provided by the NC Department of Insurance.

### B: Program Income<sup>2</sup>

Effective December 1, 2018, 21<sup>st</sup> CCLC programs can no longer accept any parent fees or other sources of program income. While 21<sup>st</sup> CCLC programs have been allowed to collect program fees in the past, this practice will not be allowed going forward.<sup>3</sup>

### C: Program Enrollment

Information about access to the 21<sup>st</sup> CCLC program must be broadly disseminated to the community in which the 21<sup>st</sup> CCLC feeder school(s) and 21<sup>st</sup> CCLC program operate. Ongoing and meaningful collaborations with the public feeder schools and parent outreach can increase awareness of 21<sup>st</sup> CCLC within the community and encourage enrollment in 21<sup>st</sup> CCLC programming. Highlighting the program as 21<sup>st</sup> CCLC-funded, with adherence to federal and

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<sup>2</sup> Program Income is the gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance ([2 CFR §200.80](#)). More information may be found in the [USED Presentation](#).

<sup>3</sup> Communication sent on LISTSERV on November 26, 2018; subject: 21st CCLC Program Fees.

state guidance, can showcase the program as a safe and effective learning opportunity. When enrolling students in 21<sup>st</sup> CCLC programming, enrollment forms should at a minimum, include parent/guardian signatures with date and authorization for Internet access for children ages thirteen (13) and under. Whenever possible, enrollment forms should be made available in the home language.

## **D: Required Hours of Operation and Student Attendance**

To maximize the opportunity to impact student achievement, subgrantees must attempt to structure a program which is convenient for student and family participation and provides a consistent delivery of services sustained over time. The operational hours should demonstrate that adequate contact time is being spent with students and families each week. Research has proven that brief periods of contact time in before and out-of-school programs are not beneficial to students. As a condition of the grant in NC, subgrantee programs **must offer a minimum of twelve (12) hours of programming each week at each site** (i.e., center) for participating students in either the regular-school-year program component or with the summer program component. Each enrolled student must be given the opportunity to attend academic and enrichment activities a minimum of 12 hours each week in order to provide a quality program that fosters maximum positive impact on students' development and learning. Travel time does not count towards the 12-hour minimum requirement and quality contact time should encompass the entire targeted student population each day (e.g., cannot serve boys on Monday and Wednesday and girls on Tuesday and Thursday). A majority of subgrantee programs select to run the program Mondays through Thursdays only, but regular programming offered during Fridays and Saturdays are also eligible to count toward the minimum twelve-hour requirement.

Regular attendance and active participation in quality out-of-school programming is associated with improved academic performance, task persistence, improved work and study skills, and better social skills. Benefits of students' consistent participation in afterschool programs include:

- Providing youth with safe, extended learning environments;
- Reducing the likelihood of youth engaging in delinquent activities
- Reinforcing knowledge, skills and concepts learned during school
- Teaching and reinforcing personal/social skills development
- Promoting positive youth development

To maximize the potential impact on student achievement and overall success, subgrantee programs should make every attempt to promote regular attendance of the same students that are served each day of operation throughout the program year.

All 21<sup>st</sup> CCLC programs must implement academic support programming activities that are aligned to the North Carolina Standard Course of Study. For information, go to the [Standard Course of Study](#) homepage.

## **E: Program Activities**

Organizations awarded a 21<sup>st</sup> CCLC Grant award must offer students educational opportunities outside the traditional school hours. In addition to after school, programs may be offered before school, evenings, weekends, summers or during student intercession periods. Programming may vary from site to site, but the awarded organization must use the grant funds to carry out a variety of activities designed to support student achievement, and those activities must adhere to the federal Measures of Effectiveness. According to section 4205(b) of the ESEA, as amended by the ESSA, activities for the afterschool program must meet the following criteria:

- (A) be based upon an assessment of objective data regarding the need for before and after school (or summer recess) programs and activities in the schools and communities;*
- (B) be based upon an established set of performance measures aimed at ensuring the availability of high-quality academic enrichment opportunities;*
- (C) if appropriate, be based upon evidence-based research that the program or activity will help students meet the challenging State academic standards and any local academic standards;*
- (D) ensure that measures of student success align with the regular academic program of the school and the academic needs of participating students and include performance indicators and measures described in section 4203(a)(14)(A); and*
- (E) collect the data necessary for the measures of student success described in subparagraph (D).*

Subgrantees may use the award funds to carry out a broad array of activities that advance student academic achievement and support student success. In North Carolina, subgrantee must provide a focus on math and reading/language arts, but other activities may include, but are not limited to, the following based on the needs of the population served:



- Academic enrichment learning programs, mentoring programs, remedial education activities, and tutoring services, that are aligned with the challenging State academic standards and local academic standards
- Local curricula that are designed to improve student academic achievement;
- Well-rounded education activities, including such activities that enable students to be eligible for credit recovery or attainment
- Literacy education programs, including financial literacy programs and environmental literacy programs
- Programs that support a healthy and active lifestyle, including nutritional education and regular, structured physical activity programs
- Services for individuals with disabilities
- Programs that provide after-school activities for students who are English learners that emphasize language skills and academic achievement;
- Cultural programs
- Telecommunications and technology education programs
- Expanded library service hours
- Parenting skills programs that promote parental involvement, healthy living and family literacy
- Programs that provide assistance to students who have been truant, suspended, or expelled to allow the students to improve their academic achievement
- Drug and violence prevention programs and counseling programs
- Programs that build skills in science, technology, engineering, and mathematics (referred to as 'STEM'), including computer science, and that foster innovation in learning by supporting nontraditional STEM education teaching methods
- Programs that partner with in-demand fields of the local workforce or build career competencies and career readiness and ensure that local workforce and career readiness skills are aligned with the Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.) and the Workforce Innovation and Opportunity Act (29 U.S.C. 3101 et seq.)

## **F: Schedule of Program Activities**

The subgrantee must develop and maintain a daily schedule of program activities. The schedule provides students, staff, and volunteers with clear expectations for each day of the program. The program schedule must be aligned to the proposed schedule described in the approved

application. The schedule should be readily available to students, parents, and staff. In addition, the program schedule should demonstrate the following characteristics:

- A focus on NC Standard Course of Study standards for math and reading/language arts (at a minimum)
- Non-academic activities that will complement the regular academic program and/or promote whole-child development
- A variety of strategies and/or activities to address various learning interests, grade levels and ability
- Transition time between activities
- Parent engagement activities when appropriate (parent activities may also be provided separately)

***NOTE: Subgrantee programs must offer a minimum of twelve (12) hours of programming each week for participating students at each center operated with 21<sup>st</sup> CCLC funds.***

## **G: Summer and Intersession Components**

Summer programs afford students an opportunity for year-round learning. Year-round learning consists of intentional, community-based efforts to link school, afterschool, and summer learning for the benefit of youth. Implementing summer learning programs can benefit youth in the following areas: better grade transition, prevention of academic loss, and greater exposure to experiential learning opportunities (Harvard Family Research Project, 2011). In addition, the Wallace Foundation finds that summer programs provide a safe and structured learning environment. Most importantly, summer programs can keep students focused and learning—and can mitigate academic losses that may occur when students are not in school. In addition, summer programs must adhere to the same guiding principles as the school-year program.

There are some schools in North Carolina which operate on a year-round schedule. Both traditional and year-round school calendars typically have at least 180 days of instruction; however, while the traditional calendar is divided into nine months of instruction and three months of vacation during the summer, year-round calendars break the long instructional and vacation blocks into shorter units. There are numerous variations of year-round schedules, and depending on the size of the school, the students may be organized into multiple groups that operate on separate and distinct schedules, often referred to as *tracks*. The block of time that students are scheduled to be away from school is referred to as the *intersession* or *track-out*

time. For the purposes of the 21<sup>st</sup> CCLC program, subgrantees who serve feeder schools on a year-long school calendar may select one or more intercession periods to serve as the summer program component(s).

As with 21<sup>st</sup> CCLC programming during the traditional school year, summer and intercession programming should involve:

- Academic activities that are aligned to North Carolina Standard Course of Study
- Demonstrated partnership between the local school district and the community at-large
- Hours of operation necessary to meet program goals (required minimum of 12 student contact hours per week)
- Adherence to the section 4205(b) of the ESEA, as amended by the ESSA, Measures of Effectiveness

## **H: Transition Safety**

When students transition from the regular school day to an out-of-school program, written procedures must be in place to ensure student safety. In addition, when students travel from a feeder school to a program site located off site, procedures must ensure that students transition safely. For example, if the program is within walking distance, 21<sup>st</sup> CCLC staff or volunteers may need to serve as crossing guards to walk students to out-of-school programming. If utilizing transportation, the 21<sup>st</sup> CCLC Program Director, Site Coordinator, or designated staff must ensure that students transition safely and on to the correct buses or vans. Bus/van drivers must be appropriately licensed, adhere to motor vehicle laws, and be trained on procedures in the event of an emergency on the bus/van.

***NOTE: Whether a bus or transit van is used, all motor vehicle safety laws, especially those related to passenger safety must be followed.***

## **I: Field Trips**

Educationally related field trips must be included in the approved budget and require program approval in advance of the field trip. Field trips must have the ability to change grades, bring college awareness or career awareness, and support the program goals and objectives. Field trips for entertainment purposes are not allowable. To ensure field trips are aligned with the

21<sup>st</sup> CCLC program goals, the 21<sup>st</sup> CCLC subgrantee should develop policies and procedures that address the following:

- Is the expense of the trip the most reasonably priced and available activity to yield the desired educational outcomes for the student?
- How will consent and medical emergency (including insurance) information be received from parents/guardians?
- How will staff / volunteers be trained, allocated, and available for supervision?
- Is the field trip accessible to all students?
- What form of transportation will be used and is it in compliance with safe transport of students?
- Has safety and evacuation training been provided to all students prior to any trip?
- What adult-to-student ratio is needed to ensure adequate supervision for the field trip?
- What is the relevance of proposed field trip to a learning objective?
- What instructional activities or student work product will occur prior to, during and after the field trip that will tie into the goals of the approved grant project?
- How will the trip's educational value be assessed upon completion of the trip?
- What is the impact of the trip on available program budget resources?

Careful attention must be given to trip selection, pre-visit preparation, appropriate follow up activities, and evaluation of the impact of field trips especially as it relates to overall goals and objectives for the 21<sup>st</sup> CCLC program. Documentation must be maintained to identify the students that participated in each field trip (e.g., sign-in sheets). Please contact your 21<sup>st</sup> CCLC PA with questions regarding a specific field trip.

**NOTES:**

- ***A Field Trip Request Form (see [Appendix H](#)) for each planned field trip must be uploaded into CCIP at the beginning of the funding cycle for PA review.***
- ***All field trips must be pre-approved by DPI prior to any expenditure related to the trip.***
- ***Fields trip for entertainment or recreational purposes are not allowable (e.g., sporting events, beach trips, water and theme parks, movies, etc.).***
- ***Any proposed changes to field trips during the school year must be submitted to DPI for review and approval thirty (30) days prior to the field trip.***

## J: Providing Healthy Snacks

Providing nutritious snacks in out-of-school programs promotes healthy eating behaviors and can be incorporated into an educational activity related to healthy life choices. However, the 21st CCLC grant is not designed to fund all anticipated program costs. All programs should pursue opportunities to access other funding sources to cover food costs/after school snacks such as:

- National School Lunch Program
- After School Snacks Summer Food Service Program
- [Child and Adult Care Food Program](#) (CACFP)
- Local Food Banks

Programs are required to document efforts to offset food costs including the date, person contacted and final resolution. If snacks cannot be provided by a food service program or the local food bank, programs should work to ensure the 21st CCLC program can purchase nutritional snacks that are reasonable and appropriate in cost.

Below is a sample snack menu for afterschool programs developed by School Nutrition Services at DPI.

Monday	Tuesday	Wednesday	Thursday	Friday
Whole Grain-rich Blueberry Muffin, 2 oz Apple Juice, ¾ cup	Hard Pretzels, .8 oz Skim Chocolate Milk, 1 cup	Carrot Sticks, 3/8 cup Celery Sticks, 3/8 cup Low-fat Ranch Dip, 1 oz 1% Unflavored Milk, 1 cup	Low-fat Cheese Stick, 1 oz Whole Grain-rich crackers, .8 oz Water	Whole Apple, 125 ct, 1 cup Skim Chocolate Milk, 1 cup
Bagel, 1 oz Low-fat cream cheese, 1 oz Orange Juice, ¾ cup	Low-fat yogurt, 4 oz Graham Crackers, 1 oz Water	Ready to Eat Cereal, 1 oz eq 1% Unflavored Milk, 1 cup	Whole Grain-rich Bread, 1 oz Peanut Butter, 2 Tbsp Water	Animal Crackers, 1 oz Grape Juice, ¾ cup

**NOTE: Programs should maintain appropriate snacks to address students that have disclosed dietary restrictions and/or food allergies. Due to the health risk posed with either situation, the purchase of a reasonable number of snacks to address these criteria could be paid with 21st CCLC funds.**

## SECTION 5: STAFFING

### A: Recruitment and Hiring

Subgrantees must ensure that all staff have clearly written job descriptions and be well informed about their job descriptions, performance expectations, and information regarding the evaluation of their job performance. Recruitment and retention depend on a variety of factors including the needs and scope of the program, available resources, and local workforce. When recruiting and retaining staff and volunteers, 21<sup>st</sup> CCLC management must employ a variety of methods including the following:

- Matching staff with positions that allow them to exhibit their strengths
- Providing time for staff meetings on program improvement and addressing student needs
- Ensuring that staff members have access to materials and resources that inform their work
- Providing staff continual feedback on how to improve their practice

The [North Carolina Afterschool Professional Core Competencies](#) provide a framework of the knowledge and skills needed in eight content areas of professional development in the field of afterschool programming. They address the diversity of skills and abilities necessary to work with afterschool children and youth.

### B: Program Director and Site Coordinator

The Program Director acting on behalf of the subgrantee serves as the leader for the local 21<sup>st</sup> CCLC program office and all of the program sites. In general, the 21<sup>st</sup> CCLC Program Director is responsible for the implementation of the approved program grant. The Program Director typically recruits and trains staff, maintains collaborative partnerships to build program sustainability, oversees data collection for program evaluation, and ensures that policies and procedures are written and followed. The 21<sup>st</sup> CCLC Program Director serves as the primary point of contact between DPI and the subgrantee and as such, is responsible for ensuring that all relevant communication from DPI is provided to appropriate staff at the local level.

Although not required, Site Coordinators may be beneficial to support program oversight when subgrantees have multiple 21<sup>st</sup> CCLC program sites (also referred to as centers). The Site

Coordinator may be responsible for maintaining and organizing resources at a 21<sup>st</sup> CCLC site to ensure project activities are implemented consistently so that program goals are achieved. When subgrantees have programs located at multiple sites, the Site Coordinator is critical for ensuring that accurate enrollment and attendance records are maintained for submission to DPI.

### **C: Volunteers**

A well-organized group of volunteers can offer vital contributions to the success and sustainability of an out-of-school program. Careful planning will ensure that a volunteer force is adequately selected and supported so that the program can maximize the assistance they provide and ensure they are retained if possible. Volunteers can be recruited from a variety of agencies and organizations to include community colleges, universities, community agencies, churches, and even high schools. Many workplaces also allow employees to take paid leave to volunteer with children.

The responsibilities given to volunteers should be based on their personal and professional goals as well as their expertise. Volunteers should be appropriately trained by the Program Director, Site Coordinator, or another appropriate staff to maximize the successful use of the volunteers. Once trained, volunteers should be partnered with staff to guide the implementation of the activity. **As with all personnel who interact with children, volunteers, including parent volunteers, must maintain clear criminal background checks ([see Section 7.B.](#)).**

### **D: Staff Training/Professional Development**

A well-trained staff is critical to the success of a 21<sup>st</sup> CCLC program. Initial and ongoing staff training increases the likelihood that all program goals will be met. All staff and volunteers should be appropriately trained on 21<sup>st</sup> CCLC program policies and procedures. All staff, including volunteers, must receive appropriate training in the following areas (at a minimum):

- Federal and State requirements for the 21<sup>st</sup> CCLC program
- Awareness and understanding of the approved 21<sup>st</sup> CCLC grant proposal's goals and strategies, program design, timelines, deliverables, and evaluation strategies
- Safety procedures ([see Section 10](#))
- Fiscal procedures, as appropriate

Evidence of staff training, including dated agendas with sign-in sheets, should be retained on file for review as requested by DPI staff.

Identifying the needed skills and knowledge of each staff member and providing ongoing feedback and resources, supports all staff working with school-age children in out-of-school programs.

Resources for professional development may be accessed at:

- [You for Youth \(Y4Y\)](#) – The focus of Y4Y is on learning and professional development for every staff member at every level of 21<sup>st</sup> CCLC programs.
- [NC Center for Afterschool Programs \(NCCAP\)](#) – NCCAP is a comprehensive statewide afterschool and expanded learning network.
- [Afterschool Alliance](#) – The Afterschool Alliance provides professional development resources to help 21<sup>st</sup> CCLC staff better provide out-of-school STEM programming.
- [The National Afterschool Association \(NAA\)](#) – The NAA publishes new content every week covering a wide variety of topics related to the out-of-school programs.



## SECTION 6: COLLABORATIONS

The establishment of collaborative partners is critical to both the implementation and sustainability of the 21<sup>st</sup> CCLC program. Collaborative partners provide resources which may be defined as contributions of expertise, facilities, in-kind or other types of services. Identify the partnering organization contributing each resource. A collaborative partner provides routine, regular, and ongoing services to the program as outlined in a signed partnership agreement.

***NOTE: Vendors are not considered to be collaborative partners, but are paid contractors who provide specific, time-limited services.***

### A: Community Collaborative Partners

The establishment of collaborative partners is critical to both the implementation and sustainability of the 21<sup>st</sup> CCLC program. A collaborative partner provides routine, regular, and ongoing services to the program as outlined in a signed memorandum of agreement (e.g., the regular use of facilities and equipment, mentors/tutors, etc.) and can play a critical role in sustaining the program beyond the years of grant funding. A partnership signifies meaningful involvement in planning, as well as specific individual or joint responsibilities for program implementation.

Effective partnerships within the community may also allow for more efficient use of local resources. Collaboration among diverse partners strengthens the variety of services the community can offer. For example, a community learning center that partners with a local hospital, a local faith-based organization, and a local business in the community may be better able to link services to student and family needs. Partner organizations may also offer in-kind services such as health care information, parent education sessions, volunteers for serving snacks, and free copying services.

Any financial assistance, whether in-kind services or fiscal support, received during the 21<sup>st</sup> CCLC funding cycle must be documented and shared with DPI upon request.

## **B: Collaboration with Feeder Schools**

Feeder schools refers to the schools that students attend during the regular school day. As previously noted, subgrantees must provide an assurance that its program was developed and will be carried out in active collaboration with the schools the students attend. When the delivery of 21<sup>st</sup> CCLC content aligns with the delivery of feeder school instructional content, the 21<sup>st</sup> CCLC program reinforces learning, builds on prior knowledge and provides opportunities to apply learned concepts and skills in contextually relevant and meaningful ways.

Strong collaboration with feeder schools often results in cost saving opportunities in areas like facility rentals, transportation services, parent communication, and in some cases, the use of curricular material. Feeder schools also help with the ongoing recruitment of students and their families as needed to satisfy the attendance goals tied to the approved grant application.

On an annual basis, subgrantees must confirm the various feeder schools served by the 21<sup>st</sup> CCLC program as part of the continuation funding application. Subgrantees must track and report the participating student's academic and social behavior during the school day as part of the 21<sup>st</sup> CCLC program's ongoing self-evaluation and to complete the 21<sup>st</sup> CCLC Annual Performance Report requirement for the USED.

Documentation must be maintained to demonstrate active communication with feeder schools.

## **C: Private Schools**

[Section 8501](#) of the ESEA, as amended by the ESSA, outlines the requirements for 21<sup>st</sup> CCLC programs and consultation with private schools.

1. During the development of the grant proposal, the applicant organization is required to contact private school officials in the proposed program's attendance zone (as determined by the proposed feeder schools in the application) to inform them of the opportunity for the private school students and their families to receive 21<sup>st</sup> CCLC services. Organizations must attest to consultation requirements as a component of applying for funds through the CCIP system.
2. If funds are awarded, subgrantees must consult with private school officials and upload one Private Schools Consultation Form for each private school in the Related Documents section of CCIP (see [Appendix K](#)).

3. During the continuation grant years, subgrantees must contact those private schools each year to ensure that private school children and their families have an equitable opportunity to participate in the 21<sup>st</sup> CCLC program.

The consultation required must occur before the agency, consortium, or entity makes any decision that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate in 21<sup>st</sup> CCLC programs. Ongoing consultation with private school officials must continue throughout the implementation and assessment of 21<sup>st</sup> CCLC activities.

Efforts to contact the private schools is monitored by DPI as part of the Comprehensive Program Monitoring Review Process.

For more information regarding the consultation requirements with private schools, see [Section 8501](#) of the ESEA, as amended by the ESSA. For a list of private schools in the feeder schools attended by students, refer to the [NC Directory of Private Schools](#).

## **D: Parents and Families**

To support children in meeting education goals, parents/guardians must be involved in their children's learning both during and after school. When families feel welcomed and valued, students reap the benefits. Benefits of family involvement for students include:

- Higher grade point averages and scores on standardized tests or rating scales;
- More classes passed and credits earned;
- Better attendance; and
- Improved behavior at home and at school.

Successful 21<sup>st</sup> CCLC programs foster parent/ guardian engagement, promote school and family collaborations, and encourage effective family involvement in consideration of several key factors.

1. **Involve families in program planning:** Programs designed to include families and children in the planning of the 21<sup>st</sup> CCLC program draw greater support from participants and their families and from the community at large.
2. **Attend to the schedules of working parents:** Family involvement should be designed to accommodate to the daily schedules of working parents/guardians.

3. **Identify family needs:** Adult and family services may vary from site to site, but based upon the identified needs and the approved grant, 21<sup>st</sup> CCLC parent/family educational opportunities may include:
- English Learner (EL) training
  - Literacy training in English and mathematics
  - GED preparation classes
  - High school completion classes
  - Parenting education classes
  - Computer training programs

The goal is to develop a successful partnership between the 21<sup>st</sup> CCLC program and the family to ensure the student's academic success. Research has shown that when parents and families are valued partners and parent education programs are delivered with fidelity as an extension of 21<sup>st</sup> CCLC learning, the established connections support lifelong learning both in regular school and out-of-school environments.

## SECTION 7: SAFETY POLICIES AND PROCEDURES

### A: Written Policies and Procedures

In addition to the required written fiscal policies, written policies and procedures must be developed for the safe and effective operations of the out-of-school programming. Local Education Agencies (LEAs) may need to expand existing policies to ensure safe and effective learning occurs at out-of-school program sites. Non-LEAs may need to access LEA policies to ensure applicable state and federal laws are contained within written policies and procedures. At a minimum, written policies must address:

- Criminal background checks
- Disciplinary policies for violence and bullying
- Emergency preparedness
- Fire safety
- Adverse weather
- Internet usage

Written policies and procedures must also be provided to parents, guardians, and community members in an easily understood format and to the extent possible, written in the language spoken in the home. All written policies and procedures must be maintained on file and available to DPI upon request.

All 21<sup>st</sup> CCLC staff must be trained on local 21<sup>st</sup> CCLC policies and procedures and evidence of training such as agendas, meeting minutes, and sign in sheets must be retained. In addition, Program Directors must develop written agreements and require that staff and students sign that acknowledge that they have received and read each of the policies. Signed agreements must be maintained on file and available for review during on-site monitoring visits. DPI may immediately suspend a subgrantee's funds if DPI determines that a threat exists to the health or safety of students, including a lack of staff training.

### B: Criminal Background Checks

Organizations awarded the 21st CCLC Grant must certify that all employees, direct-service contractors, and volunteers who work with the program have approved criminal background checks on file prior to their work with the program. In accordance with State 21st CCLC

guidelines, the organization's procedure regarding criminal background checks must meet the following requirements:

1. Must comply with the criminal background check policy and personnel procedures of the program feeder schools' district(s) [district is also referred to as the Local Education Agency (LEA)], or that of the Subgrantee's governing board.
2. In the absence of an LEA or Subgrantee's governing board policy, the Subgrantee must obtain background checks that meet the following criteria at a minimum:
  - Criminal background checks are run against national and state criminal databases, and must include the [North Carolina Sex Offender Database](#) and the [National Sex Offender Database](#).
  - Criminal record checks must be completed and cleared for all new or existing employees, volunteers, or contractors prior to their interaction with children or handling of 21<sup>st</sup> CCLC funds.
  - Statewide criminal background checks must include all states in which the employee or volunteer lives or has lived for the previous five (5) years.
  - All criminal background checks must be obtained directly and kept on file by the Subgrantee; background checks obtained/submitted by employees are not acceptable. The Subgrantee maintains responsibility to ensure that the background check data is accurate and current.
  - All criminal background checks must include the following:
    - Date criminal history check was obtained;
    - Name of agency that completed criminal history check;
    - Name or identity code of the person who ran the background check; and
    - Results of the criminal history check (i.e., "no record," "record attached," etc.).
3. Individuals convicted of a felony (of any kind) or any offense involving sexual or physical abuse/neglect against a child are strictly prohibited from working with the 21<sup>st</sup> CCLC Program in any capacity.
4. If an employee or volunteer is arrested, charged, or convicted of a crime as indicated above during the course of contracted services with the 21<sup>st</sup> CCLC Program, that individual is required to notify the subgrantee within 24 hours (or within 72 hours if arrested), and the organization must run a new criminal background check. If arrested, charged, or convicted of a crime involving physical abuse/neglect against a child the individual must automatically be disqualified from employment.

## **C: Violence and Bullying**

Workplace violence includes, but is not limited to, intimidation, threats, physical attacks, or property damage. Intimidation includes, but is not limited to, stalking or engaging in actions intended to frighten, coerce, or induce duress. Threat is the expression of intent to cause physical or mental harm. Physical attack is unwanted or hostile physical contact such as hitting, fighting, pushing, shoving, or throwing objects. Property damage includes any intentional damage to property, including property owned by the State, employees, visitors, or vendors. Written policies must address specific expectations for staff, volunteers, and visitors to the program as it relates to prohibition and response to violence in the workplace.

In 2012, amendments and additions were made to the School Violence Prevention Act and it was renamed the North Carolina School Violence Prevention Act of 2012. In addition to bullying, these amendments added a focus on computer related crimes and cyberbullying in order to address their impact on student success and school climate. Subgrantees are encouraged to review the [School Violence Prevention Act](#) and ensure the local 21<sup>st</sup> CCLC standards and procedures reflect the expected guidelines of the statute for a safe and effective learning environment.

## **D: Emergency Preparedness Plan**

All 21<sup>st</sup> CCLC programs should develop a written emergency preparedness plan addressing emergency procedures to include emergency contact information, scheduled practice drills, and inclement weather, fire, chemical and intruder safety precautions and procedures. Program directors must communicate to all staff, volunteers and parents any emergency plans including applicable evacuation routes, relocation sites, and communication plans in the event of an emergency.

The Federal Emergency Management Agency (FEMA) has developed a comprehensive source on individual, family, and community preparedness entitled [Are You Ready? - An In-depth Guide to Citizen Preparedness](#). The guide provides current and up-to-date disaster preparedness information.

## **E: Fire Safety**

Program Directors should contact local fire marshals to ensure the facility being considered for a 21<sup>st</sup> CCLC site complies with state and local fire codes for facilities where children gather.

Programs must develop a written fire prevention and evacuation plan and have up to date fire inspection reports for all sites in accordance with state and county guidelines for facilities where children gather, (NC [GS§115C-525](#)). At a minimum, the written plan must include policies and procedures in the event of a fire, a schedule for planned evacuation drills, and guidelines for staff on how to respond during and after a fire emergency including but not limited to: how to operate a fire extinguisher, safe egress procedures for all students and adults on site, activating the fire alarm or phoning 911 and follow-up reports after a fire.

Fire exits must be clearly indicated and allow for safe egress. Fire extinguishers must be routinely tested as per state fire codes for buildings where children gather. At a minimum, a fire extinguisher should be easily accessible for each area occupied by children and flashlights should be available to all staff in case of a power outage.

Directors may consider notifying local fire stations that an out-of-school program is in operation within their jurisdiction and consider inviting local fire department personnel to speak with the students about fire safety and emergency preparedness.

### **F: Adverse Weather Policy**

Policies and procedures must address actions in the event of adverse weather such as a severe thunderstorm, hurricane, tornado, or snowstorm. The director should routinely review local weather reports to determine if student and staff safety are at risk. In the event the school district closes, the 21<sup>st</sup> CCLC program should close as well. Programs may offer make-up days that either will coincide with the school's make up day or a day that programs do not usually operate.

### **G: Internet Usage**

If using the Internet, the 21<sup>st</sup> CCLC program must develop policies and procedures prohibiting access to or transmission of any material in violation of any U.S. or State regulation or school board policy, including, but not limited to, copyrighted, threatening, or obscene material. In compliance with Title XIII, the Children's Internet Protection Act, 21<sup>st</sup> CCLC program officials must obtain parent/guardian consent for email and/or Internet communication usage by any students under the age of 13. For more information visit the feeder school district's policy on Internet use and access the [Children's Internet Protection Act Guide](#).



## SECTION 8: REPORTING REQUIREMENTS

### A: System for Award Management

All subgrantees are required to register and annually update the account with the federal [System for Award Management](#) (SAM) electronic database. The fiscal agency that applied for and was awarded the grant is the entity that is required to register in SAM. A Dun & Bradstreet D-U-N-S® and tax identification number (EIN or TIN) are required. To demonstrate compliance, all non-LEA subgrantees must submit the D-U-N-S® number to DPI in the initial application.

### B: State Reporting

North Carolina General Statute (G.S. 143C-6-23) requires every nongovernmental entity that receives State or Federal pass-through grant funds directly from a State agency to file annual reports on how those grant funds were used. There are three (3) reporting levels which are determined by the total direct grant receipts from all State agencies in your fiscal year. A subgrantee's reporting threshold may change from year to year. A subgrantee's reporting date is determined by its fiscal year end and the total funding received directly from all State agencies. [Grantee Forms for Reporting on State or Federal Pass-through Grants](#) may be downloaded from the website for completion. Submit all reports to Gene Bruton at [Gene.bruton@dpi.nc.gov](mailto:Gene.bruton@dpi.nc.gov).

#### Reporting Thresholds\*

Total Funds from All State Agencies	Reports Due Submit all reports to Gene Bruton at <a href="mailto:gene.bruton@dpi.nc.gov">gene.bruton@dpi.nc.gov</a> .	Reports Due Date
Level 1 \$1 - \$24,999	<ul style="list-style-type: none"> <li>• Certification</li> <li>• State Grants Compliance Reporting Receipt of &lt; \$25,000.</li> </ul>	Within 3 months of entity's fiscal year end
Level 2 \$25,000 - \$499,999	<ul style="list-style-type: none"> <li>• Certification</li> <li>• State Grants Compliance Reporting Receipt of &gt;= \$25,000</li> <li>• Schedule of Receipts and Expenditures</li> <li>• Program Activities and Accomplishments</li> </ul>	Within 3 months of entity's fiscal year end

Level 3 \$500,000 or more	<ul style="list-style-type: none"> <li>• Certification</li> <li>• State Grants Compliance Reporting Receipt of &gt;= \$25,000</li> <li>• Audit [Single Audit if &gt;= \$750,000 in federal funds or Yellow Book Audit]</li> <li>• Schedule of Federal and State Awards (May be included in the audit)</li> <li>• Program Activities and Accomplishments</li> </ul>	Within 9 months of entity's fiscal year end
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*\*Reporting thresholds pursuant to [G.S. 143C-6-23](#). Information in the table is based on the NC Office of State Budget and Management's manual, Reporting Policies and Guidelines, section 8.6.2.*

**NOTE: Failure to comply with reporting requirements will place the subgrantee's 21<sup>st</sup> CCLC grant funds in suspension.**

## C: Program Attendance

Studies have shown that the more a child participates in afterschool programs, the more likely he/she is to show academic and social gains. To allow youth to take advantage of all that 21st CCLC programs offer, there must be steady attendance and access to programs over a significant period of time. Subgrantees are expected to develop and communicate policies to families that emphasize the importance of regular daily attendance in the 21st CCLC program. DPI will closely monitor both student enrollment and average daily attendance (ADA) in order to ensure that programs are serving the number of anticipated students from the original grant application, and to offer support and strategies to improve consistent attendance. Attendance reporting must be completed through the Attendance Module of the DPI data collection system, known as, 21DC. Subgrantees must maintain enrollment and attendance records in 21DC for each student participating in the 21st CCLC program regardless of the number of days of participation. PowerSchool rosters for the feeder schools are made available from which to select participating students and are kept current throughout the school year. Below are some definitions used for the data collected in the 21DC system:

- **Student enrollment:** The term student enrollment represents the number of students who have registered and attended one day of 21st CCLC programming. Once a student is initially counted in the enrollment figure, he/she remains in that count throughout the school year even if they cease to attend the 21st CCLC program.
- **Regular Attendees:** Students who attend the 21st CCLC program 30 days or more during the academic year. Students who are designated as regular attendees require the completion of a regular school day teacher survey with this data entered into the 21DC system.

- **Average Daily Attendance (ADA):** Student attendance is the presence of a student on days when the 21st CCLC program is in session. Average Daily Attendance (ADA) is calculated by summing the total number of days of attendance for all students and dividing that sum by the total number of program days in the period.

In addition to collecting data to meet federal reporting requirements, the attendance data in 21DC is used to determine if progress is made toward enrollment goals in order to release the second and third installment of funds. Attendance data will be collected through the Related Documents section of the Comprehensive Continuous Improvement Plan (CCIP) for allocation purposes, which will be reviewed for approval by the regionally assigned PA.

When program enrollment is reviewed, PAs will also analyze the program's ADA. PA's will notify subgrantees whose ADA is below 70% of their targeted enrollment goal. The purpose of this notification is to provide an early warning as well as support and strategies to improve attendance. After conducting the second installment attendance analysis, if a subgrantee has an ADA below 70% of their targeted enrollment goal then the subgrantee will be required to submit a corrective action plan to DPI for review. The required corrective action plan will be closely monitored by the regionally assigned PA to ensure the subgrantee is implementing identified steps and strategies to improve attendance.

Following the third installment attendance analysis, if a subgrantee has an ADA that is less than 70% of its targeted enrollment goal, then the subgrantee's grant award is at risk of being reduced for the following fiscal year. The allocation could be reduced to accurately reflect what the program would receive at 120% of its highest ADA total for the year. Allocation reductions may be voluntary (see [Section 4.E.](#) of this document) or may be accomplished through SBE action.

To review the training materials on 21DC, including the use of the Attendance Module, go to: <http://www.ncpublicschools.org/21cclc/reporting/>.

## **D: ERaCA Drawdown Documentation (non-LEAs only)**

Non-LEA organizations must submit supporting documentation for reimbursement requests within ten (10) business days (not including holidays and weekends) of the cash request submission. Reconciliations and corresponding documentation must be aligned with ERaCA submissions for each reimbursement request. The ultimate purpose of these submissions is to

verify that there is proof of purchase for the requested reimbursement. Subgrantees are required to submit copies of documents, **not originals**, which include:

- Reports from ERaCA to confirm date(s) of the reimbursement request, and under which, approved budget codes the expenditures and subsequent cash request have been posted – receipts should have director/management initials and date of review
- Invoices indicating date paid, check number, and line item charge based on COA codes entered into ERaCA
- Payroll registers including employee job title, rate of pay, and pay period
- Paid receipts
- Bank statements indicating cancelled checks, with images of front and back of the check
- Credit card or bank statements
- Other documents as needed to match cash requests for the ERaCA submission

In addition to submitting the documentation with a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen, non-LEA subgrantees must provide the ERaCA Reconciliation Cover Sheet. Non-LEAs that receive 21st CCLC grant awards in more than one cohort, must indicate on the cover sheet the cohort number(s) included in the reimbursement request and the amount requested for each cohort program (if the reimbursement request includes funds for both programs). The ERaCA Reconciliation Cover Sheet must be signed by the Chief Administrator for the non-LEA as listed on the Basic Program Information form.

Non-LEA subgrantees must submit documentation by fax to (919) 807-3968 or by email to Melba Strickland [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov)

***NOTE: Non-LEA subgrantees must submit the documentation with 1) the ERaCA Reconciliation Cover Sheet; and 2) a printed copy of the ERaCA Expenditure/Cash Request Data Inquiry Screen (see sample in [Appendix E](#)).***

## **E: Voluntary Reduction or Voluntary Termination**

If at any time during the first year or in subsequent years of renewal it is determined that enrollment goals, attendance goals (see [Section 8.C.](#)), or other compliance areas are not met to support the total approved grant award, the subgrantee may request a voluntary reduction or

termination of the grant by submitting in writing the Voluntary Reduction/Termination form with appropriate signatures (see [Appendix G](#)).

If a subgrantee requests a voluntary reduction in the first year of the grant award, but is later able to increase enrollment in subsequent years of the renewal period, the total award for that year may be made available for the subgrantee's 21<sup>st</sup> CCLC program if sufficient documentation is provided to ensure that attendance goals are met.

### **F: Annual Fiscal Audits**

All LEA and charter school subgrantees are required to submit an audit each year of their financial statements, not later than October 31<sup>st</sup>, to the Local Government Commission (LGC) of the Department of State Treasurer. The 21<sup>st</sup> CCLC program, as with all state and federal grants, is subject to audit testing within the scope of the required audit as determined by the auditor. The audit shall be conducted by a Certified Public Accountant (CPA) that has been approved and certified by the LGC as qualified to audit local government accounts. The audits must be performed in accordance with Generally Accepted Auditing Standards (GAAS) and the financial statements must be prepared in conformity with Generally Accepted Accounting Principles (GAAP).

All non-LEA entities are required to have an independent audit conducted by an independent CPA when the annual fiscal year total of all federal funds reaches \$750,000. Audit reports are submitted to DPI Financial and Business Services staff on a weekly basis. ([EDGAR 2 CFR 200.501](#))

***NOTE: Failure to comply with all reporting requirements will place the subgrantee's 21<sup>st</sup> CCLC grant funds in suspension.***

## SECTION 9: PROGRAM EVALUATION

Program evaluation is not only a component of the federal Principles of Effectiveness, but process and outcome data collection and analysis can inform, refine, or reinforce key components of the 21<sup>st</sup> CCLC program. Process evaluations and progress monitoring can provide evidence to make programmatic changes while outcome evaluations can inform overall program goals.

### **A: Self-Assessment Tool**

In 2017, DPI, in partnership with SERVE at the University of North Carolina at Greensboro, and the NC Center for Afterschool Programs (NCCAP), revised a self-assessment tool as a starting point to develop a more streamlined and accessible approach for 21<sup>st</sup> CCLC programs to use in internal reviews of their program quality. This self-assessment format is intended to facilitate the work of program directors in their organizational reviews and planning around the continuous improvement of program quality in all areas of out-of-school programming. That is, the program self-assessment format is designed to engage program leaders in thoughtful discussions with stakeholders, including internal staff, about how to identify areas of strength and improve other areas that may need attention. It includes questions under eight broad-based quality standards, reflecting features of a high quality out-of-school program. The instrument is not meant to be used for external judging of a program as “good” or “bad” but rather, is intended for program leaders’ use in identifying programmatic practices and processes that could be improved.

### **B: Data Reporting in the 21DC system**

The key purposes of data collection are: (1) to complete federal reporting requirements; (2) to demonstrate that substantial progress has been made towards meeting the objectives of the 21<sup>st</sup> CCLC program as outlined in the grant application, including enrollment data; and (3) to provide information for local, state, and federal program evaluations. Subgrantees are required to collect 21<sup>st</sup> CCLC data and report it annually to DPI via the 21DC system. DPI collects data through 21DC to complete annual federal reporting requirements via the federal 21APR system. For more information on the 21DC system, click [HERE](#).

## **C: Annual Program Evaluation Report**

In addition to meeting federal evaluation requirements, subgrantees must submit an Annual Program Evaluation Report (APER) and upload the document into the Related Documents section of CCIP. The APER must be uploaded and approved in CCIP prior to the release of the 2<sup>nd</sup> installment.

## **D: External Evaluators**

Although not required, external evaluators may be used to conduct an independent assessment of the 21<sup>st</sup> CCLC program. If an external evaluator has agreed to serve as the evaluator for the program, the amount to be paid to the evaluator from grant funds cannot exceed three percent (3%) of the grant award amount. If the amount to be paid exceeds 3% of the grant award, the outstanding balance must come from other resources. In addition, all applicable federal, state, and local procurement procedures, including conflict of interest rules, must be followed when selecting an external contracted evaluator.

## **E: Sustainability Plan**

Subgrantees are expected to develop and annually update a comprehensive sustainability plan. In support of the sustainability plan, programs must maintain accurate records and track data to demonstrate success. Data that substantiates children's academic and personal growth resulting from the 21<sup>st</sup> CCLC funded program can illustrate to community members, parents/guardians, and potential funders the importance of continuing the work beyond the 21<sup>st</sup> CCLC funding cycles. Throughout the various program year cycles, subgrantees should consider marketing strategies that rely on evidences of success to encourage attendance and engage stakeholders in long-term program operation in a community beyond the funded grant cycle.

## SECTION 10: SUBGRANTEE MONITORING

DPI is required to monitor the quality and effectiveness of the programs operating with funds provided through 21<sup>st</sup> CCLC grants ([EDGAR, 2 CFR § 200.331](#)). Monitoring reviews are conducted to ensure compliance with federal and state requirements and verify compliance with items included within the approved application such as assurances and budgets.

Monitoring not only serves to ensure compliance, but also provides a means to identify areas that require additional support and technical assistance. The Federal Program Monitoring and Support Division at DPI engages in four types of monitoring of federal programs which may be conducted as announced or unannounced.

### A: Comprehensive Program Monitoring Reviews (CPMRs)

CPMRs are conducted on-site at the organization location where program documentation is maintained with visits to individual centers (sites) as appropriate. The review process utilizes an instrument with five (5) compliance strands:

1. Program Management
2. Program Implementation
3. Family and Community Engagement
4. Federal/State/Local Statute
5. Fiscal Management

During the visit, PAs will review documentation, conduct interviews, and provide technical assistance when applicable. Following the review, a report is completed based on the following CPMR Rating Rubric.

Meets Requirements	Meets Requirements with Recommendations	Findings	NA – Not Applicable
<p>Compliance indicator is 100% met and supported by all required evidence(s).</p> <p>All Required documents are provided and support compliance.</p> <p>Interviews support documentation, processes, and implementation.</p> <p>Compliance is consistent at program level and sites sampled.</p>	<p>Basic compliance requirements are met; recommendations are provided for improvement.</p>	<p>Evidence or lack of evidence show compliance indicator has not been met.</p> <p>Incomplete or lack of required documentation.</p> <p>Interviews lack understanding or support of documentation, processes, and implementation.</p> <p>Compliance is inconsistent at program level and sites sampled.</p>	<p>Accountability standard is not applicable.</p>



The CPMR report will be provided to the primary contact for the organization. The organization must respond in writing to each item marked as Finding within thirty (30) business days of receipt of the report. The organization's response must demonstrate the required action has already been addressed by including supporting documentation with the response.

## B: Fiscal Monitoring Reviews (FMRs)

FMRs are conducted on-site at the organization location where fiscal records are maintained. The review process utilizes an instrument with nine (9) compliance strands:

1. Procedures
2. General Procurement Standards
3. Indirect Cost Rates
4. Payroll
5. Budget
6. Equipment
7. Transactions
8. General DPI Fiscal and Program Guidance
9. Prior Surveys

During the on-site review, Fiscal Monitors will review documentation, conduct interviews, and provide technical assistance when applicable. Following the review, a report is completed based on the following FMR Rating Rubric.

Meets Requirements	Meets Requirements with Recommendations	Findings	NA – Not Applicable
<p>Compliance indicator is 100% met and supported by all required evidence(s).</p> <p>All Required documents are provided and support compliance.</p> <p>Interviews support documentation, processes, and implementation.</p> <p>Compliance is consistent at program level and sites sampled.</p>	<p>Basic compliance requirements are met; recommendations are provided for improvement.</p>	<p>Evidence or lack of evidence show compliance indicator has not been met.</p> <p>Incomplete or lack of required documentation.</p> <p>Interviews lack understanding or support of documentation, processes, and implementation.</p> <p>Compliance is inconsistent at program level and sites sampled.</p>	<p>Accountability standard is not applicable.</p>

The FMR report will be provided to the primary contact for the organization. The organization must respond in writing to each item marked as Finding(s) within ten (10) business days of receipt of the report. The organization's response must 1) demonstrate the required action has already been addressed by including supporting documentation with the response, or 2) describe a specific action plan for completing the required action with a detailed timeline and persons responsible.

### **C: Program Quality Reviews (PQRs)**

PQRs are less-formal visits that allow for conversations about strategies to improve program quality in any of the five compliance strands associated with the CPMR protocol, including Fiscal Management. PQRs are conducted based on prior observation, available desk review data, or subgrantee requests for specific support. Once the PQR strand is determined, the PA uses individual PQR template for that respective strand to document the visit.

Although PQRs provide an opportunity to check on compliance, the PQR instrument and related protocol are not designed to identify specific compliance findings; rather, 21<sup>st</sup> CCLC PAs utilize PQRs to provide technical assistance and to promote program quality. On the PQR instrument and subsequent report, the PAs provide written feedback under the broad headings of "Commendations," "Concerns," and "Recommendations."

Although DPI provides written PQR reports to the primary contact for the organization to summarize the recent onsite visit, subgrantees are not required to provide a corrective action response or any other response in writing.

### **D: Desk Reviews**

Desk Reviews are conducted at DPI each year based on documentation submitted by each organization to the Division to support program and fiscal compliance. For 21<sup>st</sup> CCLC programs, the program review includes, but is not limited to an assessment of the approved project, budgets and amendments, and documents uploaded in CCIP. In addition, Desk Reviews may be conducted quarterly comparing approved budgets to expenditure reports. For organizations utilizing the ERaCA system, the fiscal review includes a sampling of supporting documents submitted to DPI on a monthly basis reconciled to cash drawdowns.

For each organization's three-year grant cycle, monitoring is conducted as follows:

- Year 1 – Comprehensive Program Reviews and Fiscal Monitoring Reviews

- Year 2 – Program Quality Reviews and Fiscal Desk Reviews
- Year 3 – CPMRs, FMRs, PQRs, and/or FDRs based on a risk assessment

A risk assessment determines which programs will be monitored again in the year 3 of the organizations grant cycle and which type of monitoring will occur. The risk assessment includes a consideration factors including, but not limited to, findings from previous fiscal and program monitoring events, timely submission of 21DC and CCIP data, timely submission of expenditure documentation, repayments or ERaCA disablements, and length of time since last monitoring event.

Although programs may deliver high quality 21<sup>st</sup> CCLC programming in compliance with both program and fiscal requirements, DPI will not be able to verify compliance without accurate documentation and records retention. Programs are encouraged to organize, label, file, and retain records of all meetings, trainings, and communications to verify compliance. Records may be paper or electronic and stored in either paper or electronic format but should be easily accessible during the review process.

For a list of Sample Program Documentation, see [Appendix I](#).

For more information regarding the Standard Operating Procedures for 21<sup>st</sup> CCLC monitoring, click [HERE](#).

## SECTION 11: TERMINATION OF GRANTS

The State Board of Education (SBE) is ultimately responsible for administration of sub-grants at the local level. When there are issues that prohibit the subgrantee from administering the 21<sup>st</sup> CCLC program within requirements, subgrantees will first be provided with technical assistance to correct areas of non-compliance. 21<sup>st</sup> CCLC PAs are available to assist with identifying how the subgrantee may be able to make fiscal and/or programmatic improvements. If technical assistance efforts do not result in full compliance, the DPI may recommend to the SBE a termination of the 21<sup>st</sup> CCLC grant.

- (a) The DPI may recommend termination of a 21<sup>st</sup> CCLC grant to the SBE, in whole or in part, to a subgrantee before the end of the grant period if the subgrantee has:
  - 1) materially failed to comply with the terms and conditions of the grant;
  - 2) failed to comply with State Education Agency (SEA) policies; or
  - 3) failed to comply with state or federal law.
- (b) When recommending the termination of a grant in whole or in part, the DPI shall send written notification by certified mail to the subgrantee that the DPI is proposing to terminate the grant award for nonperformance or noncompliance.
- (c) Written notification is provided at least thirty (30) days prior to sending a formal recommendation for termination to the SBE.
- (d) The notification shall include, at a minimum:
  - (1) the reason(s) for initiating the termination;
  - (2) the effective date of the proposed termination; and
  - (3) an explanation that the subgrantee may forego the termination process by electing to withdraw from the 21<sup>st</sup> CCLC grant program.
- (e) The subgrantee has fifteen (15) days from receipt of the notification to respond in writing to NC DPI indicating its objection to the proposed termination.
- (f) The written objection shall include:
  - (1) a response to each reason listed for the proposed termination;
  - (2) an explanation why the finding is faulty or based upon excusable conduct; and
  - (3) if the subgrantee wishes to appear personally to present its objections.
- (g) If the DPI does not receive a written objection in a timely manner, then the proposed termination is considered unopposed and may be presented at the next meeting of the SBE for final action.

- (h) If the subgrantee submits a timely written objection, the DPI will forward the recommendation along with the objection to the SBE for placement on the agenda for the next regular SBE meeting.
- (i) If the subgrantee has requested to make a personal appearance, the request will be forwarded to the chair of the appropriate committee who will place the item on the agenda for the next regular committee meeting.
- (j) If a subgrantee is terminated for noncompliance/nonperformance, it cannot reapply for a 21<sup>st</sup> CCLC grant that would begin at any point during the four consecutive school years after the termination action.
- (k) NC DPI shall be liable only for payment in accordance with the provisions of the 21<sup>st</sup> CCLC grant award for services rendered prior to the effective date of the termination.
- (l) A subgrantee has the right to request a hearing if it alleges that the DPI violated a State or Federal statute or regulation when it terminated the 21<sup>st</sup> CCLC grant of the subgrantee.
- (m) A subgrantee may submit to the DPI a written request for a hearing within thirty (30) days of the action of the SBE.
- (n) Within thirty (30) days after the DPI receives the request for a hearing, the DPI shall hold a hearing on the record and shall review its action. The hearing may be conducted by a hearing officer.
- (o) No later than ten (10) days after the hearing the DPI shall issue its written ruling, including findings of fact and reasons for the ruling.
- (p) If the DPI determines that the DPI's action was contrary to State or Federal statutes or regulations that govern the 21<sup>st</sup> CCLC program, the DPI shall rescind its action.

# **SECTION 12: APPENDICES**

## Appendix A: ALLOWABLE COSTS CHECKLIST FOR FEDERAL PROGRAMS

### ***Is the cost:***

#### **Necessary (2 C.F.R. § 200.403(a))**

- Is the cost necessary to carry out the plan of the federal program?

#### **Reasonable (2C.F.R. § 200.404)**

- Did the LEA follow its purchasing or procurement procedures?
- Is the cost in line with fair market prices for comparable goods or services?
- Would a “prudent person” agree that the item is reasonable?

#### **Conforming to Limitations or Exclusions (2 C.F.R. § 200.403(b))**

- Is the cost permissible and not explicitly disallowed under the specific items of cost found in the Uniform Grant Guidance 2 C.F.R. § 200.420-475?
- Is the cost permissible under the program statute and regulations?
- Is the cost permissible under the terms and conditions of the sub award?
- Is the cost permissible under state statute?
- Is the cost permissible under the LEA’s policies?

#### **Consistent with Policies and Procedures (2 C.F.R. § 200.403(c))**

- Are the LEA’s policies and procedures consistent among funding sources?
- Do the LEA’s policies and procedures apply the same rules for federal programs as they do for state and local programs?
- Would the cost be the same amount if it was funded by a state or local program?

#### **Accorded Consistent Treatment (2C.F.R. § 200.403(d))**

- Is the cost excluded from the LEA’s indirect cost rate?
- Is the cost treated the same for the federal program as it is for state and local programs?

#### **Allocable (2 C.F.R. § 200.405(a))**

- Is the cost incurred specifically for the federal program?
- If the cost benefits the federal program and other work of the agency, was the cost distributed in proportions that may be approximated using reasonable methods?
- Determined in Accordance with Generally Accepted Accounting Principles (GAAP) (2C.F.R. § 200.403(e)) Is the cost determined in accordance with Generally Accepted Accounting Principles (GAAP) or as otherwise provided for in the Uniform Grant Guidance?
- Not used for cost sharing or matching requirements (2 C.F.R. § 200.403(f))
- Is the cost not being used to meet cost sharing or matching requirements of any other federally- financed program?

#### **Adequately Documented (2 C.F.R. § 200.403(g) and 2 C.F.R. § 200.302(b)(3))**

- Is there documentation demonstrating the need, the purchase, and use of the item?
- Are there records that identify the source and application of funds and contain information regarding authorizations, obligations, unobligated balances, assets, expenditures, income and interest that are supported by source documentation?

#### **Supplemental**

- Does the cost meet the supplemental requirements of the federal grant program?

***Except where otherwise authorized by statute, costs must meet the general criteria in order to be allowable under federal awards. A “Yes” response to all the preceding questions implies that a cost may be allowable.***

## Appendix B: INSTRUCTIONS FOR COMPLETING BUDGET FORM FPD 208

**TAB 1: FY BUDGET**

- |                              |  |
|------------------------------|--|
| 1. Organization Name         | Enter the Subgrantee's name that was approved to receive the grant funding by the State Board of Education.  |
| 2. LEA/Unit #                | Enter the three-digit LEA or Unit Number assigned by DPI.  |
| 3. Cohort #                  | Enter 21 <sup>st</sup> CCLC cohort number.   |
| 4. Project Period Beginning: | For the <i>beginning</i> date, enter July 1 <sup>st</sup> of the respective calendar year to align with the State's fiscal year.                       |
| 5. Project Period Ending     | For the <i>ending</i> date, enter September 30 <sup>th</sup> of the following calendar year to align with the period of availability for the funds.    |
| 6. Yearly Budget             | Enter the total of your annual grant award.  |
| 7. School Year               | Enter the budgeted amount of funds to cover the proposed expenditures adjacent to each expenditure category and related budget codes.                  |
| 8. Total                     | Each column and row of numeric data entered will automatically track and communicate the running total to the far right and bottom of the spreadsheet. |
| 9. Signatures                | An original hand-written signature and the date are required.  |
| 10. State Use Only           | Leave blank.   |

**TAB 2: POSITION SUMMARY**

Enter data adjacent to the prefilled account codes as appropriate based on the approved Chart of Accounts

- |   |  |
|---|--|
| 1. Position<br>Description/Number of<br>Positions | Should align with approved Chart of Accounts description. For Example: Teacher, Supervisor, and Psychologist; Number of personnel to be employed in that position.   |
| 2. Percent Assigned to Project                    | Percent of time each position works in the project. For example: 15 Tutor positions at 100%; 2 Teacher positions at 75%.   |
| 3. Position Description                           | The Uniform Chart of Accounts description. For Example: Teacher, Supervisor, and Psychologist.   |
| 4. Percent Assigned to Project                    | Percent of time each position works in the project. For example: 15 Tutor positions at 100%; 2 Teacher positions at 75%.   |
| 5. Number of Months<br>Assigned to Project        | Number of months that positions are assigned to the project. For example: 15 Teacher positions at 100% (10 Months).  |
| 6. Dollars  | The estimated yearly salary (not including benefits) for the identified position. Budgeted dollars should take into consideration the total number of positions, percent employed, and the months assigned. Numbers of months that positions are assigned to the project. For example: 15 Teacher positions at 100% (10 Months). |



**TAB 3: CONTRACT SUMMARY**

Enter data adjacent to the prefilled account codes as appropriate based on the approved Chart of Accounts

- |                         |   |
|-------------------------|---|
| 1. Number of Contracts  | Enter the total number of proposed contracts for each account code including any personal services contracts.   |
| 2. Contract Description | Provide a brief description of the proposed contracts including any personal services contracts.  |
| 3. Duration of Contract | For each contract provide the duration in terms of months, days, hours, etc.  |
| 4. Dollars              | The estimated yearly salary (not including benefits) for the identified position. Budgeted dollars should take into consideration the total number of positions, percent employed, and the months assigned. Numbers of months positions are assigned to the project. For example: 15 Teacher positions at 100% (10 Months). |

**TAB 4: EQUIPMENT SUMMARY**

Enter data adjacent to the prefilled account codes as appropriate based on the approved Chart of Accounts

- |  |  |
|--|--|
| 1. Description of Item                 | Describe the proposed equipment that will be purchased.                        |
| 2. Quantity                            | Provide the total number of items that will be purchased.                      |
| 3. Projected Unit Cost                 | Provide the cost per item.   |
| 4. Projected Total Cost                | Provide the total cost for all items meeting this description.                 |
| 5. Own or Lease                        | Identify for each item described if the equipment will be purchased or leased. |
| 6. Planned Use of Equipment in Project | Provide a brief description of how the equipment will be used.                 |

## Appendix C: PROGRAMMATIC AMENDMENT FORM

### 21st Century Community Learning Centers (CCLC) Program PROGRAMMATIC AMENDMENT FORM

This form should be used to request a notable change in the program service delivery currently implemented to support the goals of the awarded 21<sup>st</sup> CCLC Grant proposal. This document should not be used to document minor program adjustments nor to request a budget amendment (budget amendment requests should be submitted via the Budget Form 209).

21 <sup>st</sup> CCLC Program Name:	<input type="text"/>	Unit No:	<input type="text"/>	Cohort:	<input type="text"/>
Program Director:	<input type="text"/>	Phone:	<input type="text"/>	Requested change is for School Year	<input type="checkbox"/>
E-mail address:	<input type="text"/>	Fax:	<input type="text"/>	Requested change is for Summer	<input type="checkbox"/>

**PROPOSED ELEMENT TO ALTER IN APPROVED GRANT PROPOSAL:** **1)** Refer to section(s) and page(s) of the original grant proposal. Indicate the page number or section in the application where the language/content proposed for change can be found. **2)** State the current language/content in the approved application for which you are submitting the amendment request.

**RATIONALE:** Provide the rationale for the proposed changes to the implementation plan to support the goals or objectives of the approved 21<sup>st</sup> CCLC Grant application. Provide background information that will explain why the proposed change(s) are necessary.

**IMPLICATIONS FOR OTHER PROGRAM ELEMENTS:** Discuss the implications and challenges that might be associated with the proposed amendment as it relates to personnel, training, budget (may require separate Budget Amendment Form 209), or any other operational logistics as appropriate.

**NOTE:** To be processed, the *Programmatic Amendment Form* must include a handwritten signature by Fiscal Agent's Chief Administrator or Authorized Designee.

*My signature below indicates that I have read and approved the proposed amendments to the awarded 21<sup>st</sup> CCLC Grant application for my organization.*

\_\_\_\_\_  
(Fiscal Agent Chief Administrator or Authorized Designee)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(21<sup>st</sup> CCLC Program Director)

\_\_\_\_\_  
(Date)

## Appendix D: VENDOR ELECTRONIC PAYMENT FORM

To receive payments electronically, you must print, complete this form, attach a voided check and return both to Melba Strickland at NCDPI, 6307 MSC 27699-6307. **DO NOT SEND COMPLETED FORMS TO THE OFFICE OF STATE CONTROLLER.**

<b>Office of the State Controller</b> <b>Return to: OSC Support Services Center</b> Address: 1410 Mail Service Center Raleigh, NC 27699-1410 Email: <a href="mailto:osc.support.services@osc.nc.gov">osc.support.services@osc.nc.gov</a> Telephone: 919-707-0795 Fax: 919-981-5561		<b>Vendor Electronic Payment Form</b>  New Add Request Change/Update Existing Account Inactivate Existing Account
--	---	---

The State of North Carolina offers payees the opportunity to receive payments electronically through U.S. based banks, rather than by check. In addition to having the money deposited electronically, you also will be notified of the deposit either by fax or by e-mail. The fax or e-mail will provide you with all the information that would normally be on your check stub.

**We require you to submit a copy of a voided check, bank statement, or a letter from your bank for account verification.**

TAX ID # or SSN	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
PAYEE NAME	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
	NAME		
REMIT TO ADDRESS	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
(AS PRINTED ON YOUR INVOICE)	STREET	SUITE/ROOM #	
	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
	CITY	STATE	ZIP CODE
CONTACT	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
	NAME & TITLE		PHONE NUMBER

**NEW FINANCIAL INFORMATION**

FINANCIAL INSTITUTION NAME:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
NAME ON ACCOUNT:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
NEW ROUTING NUMBER:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
NEW ACCOUNT NUMBER:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	
ACCT TYPE:	<input type="checkbox"/> Checking <input type="checkbox"/> Savings		
REMIT E-MAIL ADDRESS	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		

**PRIOR FINANCIAL INFORMATION (only required for updates)**

FINANCIAL INSTITUTION NAME:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
NAME ON ACCOUNT:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
ROUTING NUMBER:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		
ACCOUNT NUMBER:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>	
ACCT TYPE:	<input type="checkbox"/> Checking <input type="checkbox"/> Savings		
REMIT ADDRESS:	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>		

**ALL BOXES BELOW MUST BE REVIEWED AND CHECKED**

<input type="checkbox"/>	I acknowledge that electronic payments to the designated account must comply with the provisions of U.S. law, as well as the requirements of the Office of Foreign Assets Control (OFAC). By signing form, you are affirming that, regarding electronic payments the State of North Carolina may remit to the financial institution for credit to the account that I have designated, the entire payment amount is not subject to being transferred to a foreign bank account.
<input type="checkbox"/>	I authorize the Office of the State Controller to initiate direct deposit entries each pay period, and if necessary, adjustments for any direct deposit entries in error, to the financial institution and account identified on the attached certification document. I understand and accept the conditions of participation in the direct deposit program. This authority will remain in effect until I cancel it in writing.
<input type="checkbox"/>	I have attached a copy of a <b>current</b> voided check, current bank statement or included a bank letter on bank letterhead signed by a bank representative.

SIGNATURE:

DATE:

## Appendix E: ERACA RECONCILIATION COVER SHEET FOR DOCUMENT SUBMISSION

<b>ORGANIZATION NAME:</b>	
<b>UNIT NUMBER:</b>	
<b>COHORT NUMBER:</b>	<input type="checkbox"/> Cohort 12 <input type="checkbox"/> Cohort 13 <input type="checkbox"/> Cohort 12 & 13 (Both)
<b>AMT REQUESTED (IF BOTH, INDICATE AMT FOR EACH):</b>	
<b>FUND REQUESTED DATE (FRD):</b>	

I attest that the organization is submitting accurate and complete information for this reimbursement request.	
Signature of Fiscal Agent Organization Chief Administrator for the Non-LEA as Listed in the Basic Program Information Form	Date

Send Documentation to [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov) or FAX to 919.807.3968

## Appendix F: SAMPLE SCREEN PRINT FOR NON-LEA DOCUMENT SUBMISSION

**ERaCA - Expenditure Reporting and  
Cash Application for Education Centers**

[Home](#) > [Inquiry Submitted Data](#)

**Federal Programs**  
**Expenditure/Cash Request Data Inquiry Screen**

Fiscal Year : 2018 ▼  
Calendar Month : July ▼  
Submitted Date :   
Unit Number :   
Program Report Code : 110 - Title IV - 21st Century Community Learning Ctr ▼ Fund : Federal  
Submitted Time :   
Submitted Status : P

Account Description	Account Code <small>⬆ ⬇ ⬇ ⬆</small>	Expenditure
Extended Day/Year Instr - Salary - Director and/or Supervisor	5350-110-113	\$134.94
Extended Day/Year Instr - Salary - Teacher	5350-110-121	\$4,131.48
Extended Day/Year Instr - Employer's Soc Sec - Regular	5350-110-211	\$370.38
Extended Day/Year Instr - Employer's Workers' Comp Ins	5350-110-232	\$34.61
Extended Day/Year Instr - Employer's Unemployment Ins	5350-110-233	\$104.02
Extended Day/Year Instr - Field Trips	5350-110-333	\$1,300.00
Alternative Progs Support & Dev - Salary - Director and/or Super	6300-110-113	\$575.28

row(s) 1 - 7 of 7

Expenditure Total for Program : 110      Total : **\$6,650.71**  
ATS\_Amount : \$19,987.32

Request Cash ☒ Yes      Cash Request Amount : **\$6,650.71**  
☐ No  
ATD Amount : \$19,987.32 Fund Requirement Date :

**Cash Request is Approved**  
Amount : \$6,650.71

## Appendix G: VOLUNTARY REDUCTION OR TERMINATION OF GRANT AWARD

Sub-recipient Name		Unit Number		Year of Award	
--------------------	--	-------------	--	---------------	--

***A 21<sup>st</sup> Century Community Learning Center (21<sup>st</sup> CCLC) 21<sup>st</sup> sub-recipient may initiate termination or reduction of its grant award by submitting written notification to the Federal Program Monitoring Section. The notification shall state the reason(s) for initiating the reduction or termination process and the effective date of the reduction or termination. Please indicate below if the request is for termination or reduction of funds.***

I. REQUEST FOR TERMINATION OF 21<sup>st</sup> CCLC GRANT

<input type="checkbox"/>	The sub-recipient would like to voluntarily terminate its grant program.	The proposed effective date for the grant program termination: _____
Reason: _____		

II. REQUEST FOR REDUCTION OF 21<sup>st</sup> CCLC FUNDS

<input type="checkbox"/>	The sub-recipient would like to voluntarily reduce the amount of 21 <sup>st</sup> CCLC funds for the following time period:  <input type="checkbox"/> The current fiscal year.  <input type="checkbox"/> The remainder of the grant cycle.	
If decision is due to low enrollment/attendance, provide the attendance details in the next row. If not, skip to the "Reason" text box below.		
Initial Enrollment/Attendance Targets As Approved in the Grant Application) (List for each site if applicable):		Revised Enrollment/Attendance Targets (List for each site if applicable):
Reason:		

\_\_\_\_\_  
(Printed Name of Subgrantee Official)\_\_\_\_\_  
(Signature of Subgrantee Official)\_\_\_\_\_  
(Date of Request)

Submit completed requests to Melba Strickland at [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov) or by FAX to 919.807.3968.

## Appendix H: FIELD TRIP APPROVAL FORM

Name of Program		Unit Number	
		Cohort	
Person Completing Form		Date of Form	

For each proposed school year field trip, complete and upload this form in the Related Documents section of CCIP with the continuation application for prior approval if requesting 21st CCLC reimbursement. Do not complete if there are no costs or if using other funding sources. Forms submitted after the September 30th, 2019 deadline will not be approved, and trips that occurred without prior approval will be subject to repayment.

Goal(s): List the goal(s) from the <u>grant application</u> that is (are) associated with the proposed field trip.		
Objective(s): List the objective(s) from <u>grant application</u> that is (are) associated with the proposed field trip.		
Description of Field Trip		
Date of TRIP:	Time:	Duration:
Location: (Name and address of field trip destination)	Distance: (Total number of miles round trip)	Type of Transportation:
Field Trip Destination: (List title and topic including website link(s), as applicable)		
Pre-Activity(s):		
Activity(s) During the Field Trip: <i>(For multi-day trips please attach a daily agenda)</i>		
Post-Activity(s):		

<b>GO TO NEXT PAGE</b>			
<b>Attendees:</b> (List the number of students and chaperones attending)			
<b>Costs</b>	<b>Quantity or Number</b>	<b>Cost Per Item</b>	<b>Total</b>
<b>Students</b>			
<b>Chaperones</b>			
<b>Transportation Costs (contract amount or #miles x cost per mile)</b>			
<b>Bus Driver Costs (# drivers x hourly rate x hours)</b>			
<b>Grand Total</b>			\$
<b>Are the 21<sup>st</sup> CCLC funds for this field trip in the approved FY Budget or Amendment?</b>		<b>Yes</b>	<b>No</b>



### Appendix I: SAMPLE PROGRAM DOCUMENTATION

*Ongoing records, evidence/artifacts, and documentation must be provided for the following program components, as described in your grant application, to ensure that the grant is being implemented as proposed. Please note **the list provided is not all inclusive**. It is the 21<sup>st</sup> CCLC subgrantee's responsibility to maintain adequate records to demonstrate compliance.*

<b>Program Management</b>	<ul style="list-style-type: none"> <li>• Roster of students indicating feeder school</li> <li>• Enrollment and daily attendance records for each site</li> <li>• Recruitment plan/marketing materials</li> <li>• Programmatic schedule with student contact days/hours of operation</li> <li>• Organization chart</li> <li>• Staff handbook addressing policies and procedures</li> <li>• Schedule of staff training with example materials, sign-in sheets, minutes</li> <li>• Job descriptions of key personnel with required qualifications               <ul style="list-style-type: none"> <li>○ Program directors</li> <li>○ Site coordinators</li> <li>○ Teachers</li> <li>○ Data specialist v. Support staff</li> <li>○ External Evaluator</li> </ul> </li> <li>• Implementation of the program's organizational, managerial, and staffing structure including hiring procedures for appropriate and qualified staff</li> <li>• Programmatic schedule (for each site)</li> <li>• Sample written communication with staff members</li> <li>• Minutes from collaborative planning meetings</li> <li>• Samples of communication with stakeholders</li> <li>• Sample communication with schools (as applicable) to demonstrate ongoing communication</li> <li>• Evidence of sustainability plan</li> </ul>
<b>Program Implementation</b>	<ul style="list-style-type: none"> <li>• Sample lesson plans and student materials</li> <li>• Compliance with written district or organization plan for evaluating and managing staff performance               <ul style="list-style-type: none"> <li>○ Written professional learning plan</li> <li>○ Yearly schedule of professional learning opportunities and agendas</li> <li>○ Staff rosters with attendance – sign-in sheets by participants from professional learning opportunities is a requirement for each planned activity</li> <li>○ Collection of evaluations of professional learning activities</li> </ul> </li> <li>• Written plan for staff evaluation</li> <li>• Data collection to support progress on performance indicators and measures of student success</li> <li>• Evidence of field trip follow-up activities</li> </ul>

<b>Family and Community Engagement</b>	<ul style="list-style-type: none"> <li>• Specific program information for target community provided, including parents, regular day teachers/staff, school administration, and non-English speaking parents</li> <li>• Student/parent handbook</li> <li>• 21st CCLC staff communication with parents</li> <li>• Communication with community and stakeholders</li> <li>• Communication and collaborate with principals, superintendents/CEO, and other regular day staff (e.g., progress reports, sharing of data, review of evaluations and attendance data, etc.)</li> <li>• Details/methods of communication in appropriate language(s)</li> <li>• Documentation of communications (notes, agendas, sign-in sheets, evaluations, notifications, reminders, emails etc.) for each site</li> <li>• Communication and reports to parents and regular school day teachers on student progress</li> </ul>
<b>Federal, State, and Local Statutes</b>	<ul style="list-style-type: none"> <li>• Written safety/emergency preparedness plan specific to each site/program</li> <li>• Regularly scheduled safety, emergency drills (inclement weather, fire, and safety/intruder). Maintain a log of drills to include type of drill, date, time, etc.</li> <li>• Availability of emergency contact information for staff and students</li> <li>• Inclement weather procedures</li> <li>• Internet usage policy</li> <li>• Daily drop-off and/or pick-up procedures</li> <li>• Transportation (e.g., policies, length of travel time, etc.)</li> <li>• Evidence of procedures for acquiring national criminal background checks prior to employment on all staff as well as how program will determine fitness for employment. Must provide samples of criminal background checks (10% of all staff or 5, whichever is greater)</li> <li>• Facility accessibility and Americans with Disabilities Act (ADA) compliance plan</li> <li>• Maintenance of an adequately sized facility that is safe for the target population</li> <li>• Evidence of consultation with private schools</li> </ul>
<b>Fiscal Management</b>	<ul style="list-style-type: none"> <li>• Written fiscal policies and procedures</li> <li>• Training materials/documents (e.g., agendas, sign-in sheets, minutes, etc.)</li> <li>• Equipment inventory</li> <li>• Contract invoices</li> <li>• Sample of staff time and effort documents</li> </ul>

## Appendix J: METHODS OF PROCUREMENT

1. **Procurement by micro-purchases.** Procurement by micro-purchase is the acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micropurchase threshold (2 CFR §200.67 Micro-purchase). To the extent practicable, the non-Federal entity must distribute micro-purchases equitably among qualified suppliers. Micropurchases may be awarded without soliciting competitive quotations if the non-Federal entity considers the price to be reasonable.
2. **Procurement by small purchase procedures.** Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold. If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.
3. **Procurement by sealed bids** (formal advertising). Bids are publicly solicited, and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest in price.
  - a. For sealed bidding to be feasible, the following conditions should be present:
    - i. A complete, adequate, and realistic specification or purchase description is available;
    - ii. Two or more responsible bidders are willing and able to compete effectively for the business; and
    - iii. The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price.
  - b. If sealed bids are used, the following requirements apply:
    - i. Bids must be solicited from an adequate number of known suppliers, providing them enough response time prior to the date set for opening the bids, for local, and tribal governments, the invitation for bids must be publicly advertised;
    - ii. The invitation for bids, which will include any specifications and pertinent attachments, must define the items or services for the bidder to properly respond;
    - iii. All bids will be opened at the time and place prescribed in the invitation for bids, and for local and tribal governments, the bids must be opened publicly;
    - iv. A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs must be

considered in determining which bid is lowest. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and

v. Any or all bids may be rejected if there is a sound documented reason.

1. **Procurement by competitive proposals.** The technique of competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. It is generally used when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:
  - a. Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical;
  - b. Proposals must be solicited from an adequate number of qualified sources;
  - c. The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and for selecting recipients;
  - d. Contracts must be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and
  - e. The non-Federal entity may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated, and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort
2. **Procurement by noncompetitive proposals.** Procurement by noncompetitive proposals is procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply:
  - a. The item is available only from a single source;
  - b. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
  - c. The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or
  - d. After solicitation of several sources, competition is determined inadequate.

## Appendix K: PRIVATE SCHOOLS CONSULTATION FORM FOR NON-LEAS

<b>Private School:</b>	<b>Phone:</b>	
<b>Title IV, Part B – 21<sup>st</sup> CCLC Subgrantee:</b>		
<b>SECTION A: The private school representative checks <u>one</u> box.</b>		
<p>A-1 <input type="checkbox"/> THE <b>PRIVATE SCHOOL HEREBY AFFIRMS</b> that:</p> <ul style="list-style-type: none"> <li>a. the “<i>Summary of Topics for Consultation and Statement of Assurances for the Provision of Equitable Services to Private School Children</i>” was provided to the Private School by the 21st CCLC Subgrantee,</li> <li>b. the selections made in SECTION B (below) are based on timely and meaningful consultation with the 21st CCLC Subgrantee and on verifiable enrollment and eligibility data provided by the private school to the 21st CCLC Subgrantee,</li> <li>c. the proposed design of accepted service(s) is equitable with respect to eligible private school children and</li> <li>d. consultation shall continue throughout the implementation and assessment of all accepted programs.</li> </ul> <p style="text-align: center;"><b>OR</b></p> <p>A-2 <input type="checkbox"/> THE <b>PRIVATE SCHOOL HEREBY ASSERTS</b> that one or more of the four conditions listed above <b><u>have not been met</u></b>. Complaints or concerns regarding this process may be filed with the Equitable Services Ombudsman at 919.807.3957.</p>		
<b>SECTION B: Only the private school may check the boxes in this section.</b>		
<p>ACCEPT</p> <p><input type="checkbox"/> The private school hereby <b><u>accepts</u></b> participation in Title IV-B equitable services.</p>	<p>DECLINE</p> <p><input type="checkbox"/> The private school hereby <b><u>declines</u></b> participation in Title IV-B equitable services.</p>	
<b>SECTION C: The private school representative provides a hand-written signature to affirm selections in A &amp; B</b>		
Name of Private School Official:	Signature of Private School Official: ➤	Date Signed:
<b>SECTION D: If the private school representative did not complete Sections A, B &amp; C, the 21st CCLC Subgrantee must check this box.</b>		
<p><input type="checkbox"/> THE 21st CCLC Subgrantee <b>HEREBY AFFIRMS</b> and has documented that the private school was notified of the availability of federally funded equitable services and was invited to consult, but the private school:</p> <ul style="list-style-type: none"> <li>a. did not complete Sections A, B &amp; C,</li> <li>b. actively refused the invitation to consult, or</li> <li>c. did not respond, despite three timely and direct invitations being sent.</li> </ul>		
<b>SECTION E: The 21st CCLC Subgrantee official’s signature is required in all cases.</b>		
Name of 21st CCLC Subgrantee Official:	Signature of 21st CCLC Subgrantee Official: ➤	Date Signed:

**All affirmation forms must be uploaded in CCIP by the application deadline.**  
**Documentation of invitations and consultation meetings must be kept on file by the 21st CCLC Program.**

**CONSULTATION AND STATEMENT OF ASSURANCES FOR THE PROVISION OF  
EQUITABLE SERVICES TO PRIVATE SCHOOL CHILDREN for TITLE IV-A.**

**Sections 8501 of the Every Student Succeeds Act (ESSA) require that timely and meaningful consultation occur between any entity receiving 21<sup>st</sup> CCLC funds and private school officials prior to any decision that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate in programs under this Act, and shall continue throughout the implementation and assessment of activities under this section.**

The following topics must be discussed during the ongoing consultation process:

- How the children’s needs will be identified;
- What services will be offered;
- How, where, and by whom the services will be provided;
- How the services will be academically assessed and how the results of that assessment will be used to improve those services;
- The size and scope of the equitable services to be provided to the eligible private school children, the proportion of funds that is allocated for such services, and how that proportion of funds is determined;
- How and when the agency will make decisions about the delivery of services to such children, including a thorough consideration and analysis of the views of the private school officials on the provision of services through a contract with potential third-party providers;
- How, if the subgrantee disagrees with the views of the private school officials on the provision of services through a contract, the subgrantee will provide in writing to such private school officials an analysis of the reasons why the subgrantee has chosen not to use a contractor;
- Whether the subgrantee shall provide services directly or through a separate government agency, consortium, entity, or third-party contractor;
- When, including the approximate time of day, services will be provided; and
- For subgrantees also receiving Title I-A funds:
  - Whether to consolidate and use Title I funds provided in coordination with eligible funds available for services to private school children under applicable programs, as defined in section 8501(b)(1) to provide services to eligible private school children participating in programs; and
  - Whether to provide equitable services to eligible private school children by creating a pool or pools of funds with all of the allocated funds based on all the children from low-income families in a participating school attendance area who attend private schools; or in the subgrantee’s participating school attendance area who attend private schools with the proportion of allocated funds based on the number of children from low-income families who attend private schools.

**STATEMENT OF ASSURANCES**

Assurances are given that –

- Each subgrantee shall maintain in the organization’s records, and provide to the SEA involved, a written affirmation signed by officials of each participating private school that the meaningful consultation required by this section has occurred. If such officials do not provide such affirmation within a reasonable period of time, the subgrantee shall forward the documentation that such consultation has, or attempts at such consultation have, taken place to the SEA.
- The control of funds provided under this part and title to materials, equipment, and property purchased with such funds, shall be in a public agency, and a public agency shall administer such funds, materials, equipment, and property.
- The educational services and other benefits offered to eligible nonpublic children, teachers, and other educational personnel are equitable in comparison to services and benefits for public school children.
- Funds allocated to a subgrantee for educational services and other benefits to eligible private school children shall be obligated in the fiscal year for which the funds are received by the subgrantee.
- Nonpublic school officials have provided accurate and reliable low-income data to the district for children residing in eligible school attendance areas for purposes of allocating applicable federal funds (for subgrantees also receiving Title I-A funds).
- Each nonpublic school child receiving services has been determined to have an educational need.
- Educational services and other benefits, including materials and equipment, provided shall be secular, neutral, nonideological.

### Appendix L: SUGGESTED CHECKLIST FOR THE FIRST 60 DAYS

*The checklist outlines requirements and other information that should be completed within the first 60 days of grant approval by the State Board of Education. In continued years of funding, the checklist should serve as a reminder of requirements to address prior to opening the program for students. For documents submitted to NCDPI, include program name and program unit number on all correspondence in the subject line. **Funding is released when all applicable items are submitted and approved through CCIP.***

#### First 30 Days – Fiscal Guidelines

- ☐ Upload Budget Form 208 (using appropriate codes from the Chart of Accounts) and Signed Assurances in CCIP
- ☐ Submit electronic payment form (new programs only or if account information changes) including tax ID number and year end date – send to Melba Strickland [melba.strickland@dpi.nc.gov](mailto:melba.strickland@dpi.nc.gov)
- ☐ Ensure that Basic Program Information is up to date in CCIP with all location.
- ☐ Upload any programmatic/fiscal changes to original RFP in CCIP for DPI Program Administrator Review
- ☐ Review organization's fiscal policies and ensure that appropriate staff are trained to follow procedures
- ☐ Review organization's Conflict of Interest Policy and provide training to ensure that appropriate staff are trained to ensure no perceived or actual conflicts of interest occur during program implementation

#### Within 30-60 days - Program Guidelines

- ☐ Review the 21<sup>st</sup> CCLC Grant Guidance
- ☐ Implement marketing/advertising program
- ☐ Establish staff policies and procedures with dissemination plans
- ☐ Hire appropriate staff
  - Develop job specific job descriptions and salary requirements for the 21<sup>st</sup> CCLC
  - Conduct Interviews
  - Complete background checks
- ☐ Train staff on policies and procedures
  - Confidentiality requirements
  - Emergency/safety procedures such as child abuse reporting, emergency evacuation, internet use safety, health emergency procedures, student drop off and pick up
  - Student registration
  - Attendance, sign-in, sign-out procedures
  - Student files (grades, test scores, health requirements)
- ☐ Assess technology and equipment requirements
- ☐ Develop Student/Parent Handbook with dissemination plans
  - Student registration
  - Attendance, sign-in, sign-out procedure
  - Student files (grades, test scores, health requirements)
  - Expectations for student behavior and consequences for inappropriate behavior
  - Emergency and safety planning/procedures
  - Parent engagement plan
- ☐ Establish timeline for regular communication with community/school partners
- ☐ Prepare for Open House

## Appendix M: WAIVER REQUEST TO EXCEED THE 70% SALARY CAP

*Subgrantees must submit a waiver request form for review and approval to exceed the 70% salary cap for all personnel costs paid with 21<sup>st</sup> CCLC grant funds. Please note, if a 21<sup>st</sup> CCLC program is not required to expend funds for leasing a building and incurring expenses related to utilities and/or insurance for space, the 70% cap does not apply, and no waiver is needed.*

<b>Subgrantee Name:</b>	_____	<b>Unit Number:</b>	_____
<b>Person Completing Request:</b>	_____	<b>Email/Phone Number:</b>	_____

<b>RATIONALE FOR WAIVER:</b> Describe how the requested waiver is a reasonable and necessary use of 21 <sup>st</sup> CCLC grant funds.
_____
<b>DESCRIPTION OF ACTIVITIES THAT CAN ONLY BE ACCOMPLISHED WITH A WAIVER:</b> Describe how the requested waiver will provide the subgrantee with the flexibility it needs to provide student activities proposed in the approved project.
_____
<b>DESCRIPTION OF PROGRAM GOALS THAT CAN ONLY BE ACCOMPLISHED WITH A WAIVER:</b> Describe how the requested waiver will increase the likelihood that the following programs goals are accomplished.
_____

The subgrantee understands that the review of this request will include the scope of the subgrantee's 21<sup>st</sup> CCLC program including, but not limited to: 1) average daily attendance (ADA), 2) number and location of sites, 3) staff/student ratio, and 4) other relevant data to determine that proposed costs are reasonable and necessary to provide services to students and accomplish the goals of the grant as described in the approved project.

With the requested waiver, the subgrantee ensures that it will continue to assist the same populations served by the 21<sup>st</sup> CCLC program for which the waiver is being requested in accordance with the approved project description and all applicable federal, state, and local requirements.

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 Printed Name of Subgrantee Official

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 Signature of Subgrantee Official

**Submit completed forms to Melba Strickland by email at [Melba.strickland@dpi.nc.gov](mailto:Melba.strickland@dpi.nc.gov) or by fax to 919.807.3968.**